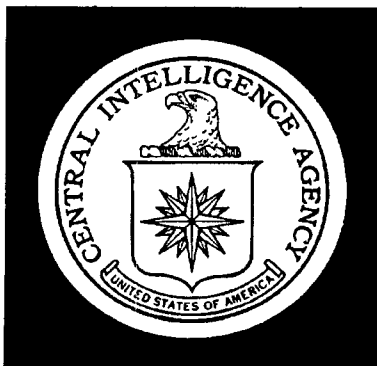


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## The Support Services Historical Series

FITNESS REPORTING IN CIA  
1947-69

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OP - 7

November 1971

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THE SUPPORT SERVICES HISTORICAL SERIES

OP - 7

FITNESS REPORTING IN CIA  
1947-69

25X1A *by*  
[REDACTED]

November 1971

25X1A  
[REDACTED]

Harry B. Fisher  
Director of Personnel

HISTORICAL STAFF  
CENTRAL INTELLIGENCE AGENCY

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Fitness Reporting in the CIA  
1947-69

I. The Beginnings, 1947-52

"They say best men are molded out of faults,  
And, for the most, become much more the better  
For being a little bad." William Shakespeare  
Measure for Measure, Act V, Scene 1.

A system for evaluating individual performance in the CIA was found to be necessary for reasons applicable to any large organization, although for a period in the early 1950's, the Agency did without a central reporting system. At issue was the Performance Rating Act of 1950 and the question of whether or not it applied to the Agency. There were those who felt it best not to raise the issue of the Director's special personnel authority under Section 102c of the National Security Act of 1947 in the context of the 1950 Act. After some temporizing, the decision was made to avoid that basic issue by pressing for an amendment to the Performance Rating Act specifically exempting the CIA. The amendment was passed by the Congress in December 1953 leaving the field open for the development of a rating system to suit the needs of the Agency.

Beginning in 1947, two forms of fitness reports had been in use. The evaluation of Headquarters employees was recorded on Civil Service Commission Form 51, "Report of Efficiency Rating," and the Agency had made minor revisions in this form and used it to evaluate field personnel under the title of CIA Form 51-53, "Status and Efficiency Report" (see Appendix A). The use of Form 51-53 was not ended in some overseas areas until December 1954.

## II. Personnel Evaluation Report, 1952-54

With most of the impetus coming from the Career Program,\* the Office of Training and the Office of Personnel jointly began the research and staff work which was to lead to the Agency's first system which was built around the Personnel Evaluation Report (PER). The first steps in the inauguration of the Personnel Evaluation Program were taken with the issuance of [REDACTED] on 1 August 1952 (see Appendix B).

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The uses of the PER as stated in the Notice included:

- (1) Identifying each person's aptitudes, knowledge, skills, and interests;
- (2) promoting discussions between supervisors and those supervised concerning work performance and career development;

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\* The policy framework and much of the early staff work on the PER came out of a sub-committee on Employee Rating of the original Career Service Committee, which was composed of representatives from the various operating components as well as personnel and training.

- (3) increasing the efficiency of the person by spotting and correcting his specific problems and deficiencies and helping him develop desirable traits;
- (4) serving as a basis for individual plans for career development;
- (5) identifying outstanding service;
- (6) identifying individuals who failed to perform as effective members of the organization; and
- (7) identifying the need for training, reassignment, rotation, promotion, demotion, separation, and other formal personnel actions.

The PER was an uncomplicated form deliberately non-statistical and unstructured, in contrast to the field Status and Efficiency Report in use overseas. The PER was established as one means of developing a satisfactory working relationship between the individual and his supervisor. This relationship was expressed in terms of the requirements of the individual's current position and his potential for long-range service with the Agency. It was not a performance rating or an efficiency rating in the sense that the individual was to be compared with others on the basis of a predetermined adjectival or numerical scale. Introduced in November of 1952, the Personnel Evaluation Report was overtaken within two years 1/\* by a highly structured form which was its very antithesis, the change made necessary by the increasing need of the Career Program for comparisons and rankings of one individual against another.

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\* For serially numbered source references, see Appendix K.



III. Career Selection Report, March - May 1954

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At the instigation of the Career Service Board, a special task force was appointed in February 1954 <sup>2/</sup> to review a Career Selection Report (CSR) developed by the psychologists in OTR under the leadership of [REDACTED]. The purpose of the new form was somewhat different from that of the PER. The CSR was designed to accomplish an analysis of the individual's characteristics, strengths, and weaknesses, in such a way that detailed comparison with other employees could be made to determine who should and who should not enter the Career Staff. The report was to be applied to an employee only during his probationary period and was not to be shown to the individual being rated. Its circulation was to be very carefully controlled at the career board or panel level. A highly structured form, the CSR met with opposition from the time it was first shown to the Career Board in the spring of 1954. <sup>3/</sup> The complicated nature of the report drew complaints. According to the Board, a professional psychologist would have been needed to interpret the data. Furthermore, the Board felt that the report would serve only a limited purpose since it was to be applied to employees only during the provisional period; and, since it was restricted to the Career Board level, it lacked any significance in the supervisory-employee relationship. <sup>4/</sup> As a result, the CSR had a very short life. It did, however, represent an important step in the search for a proper instrument to appraise and record individual

performance and potential, and led directly to the next development, the fitness report, Agency Form 37-189 dated 1 May 1954 (see Appendix C).

IV. Fitness Report, Agency Form 37-189, 1954-56

A major objection to the CSR involved the complaint that it presented a bewildering array of factors, boxes, and scales with no opportunity given for a narrative description of the employee's duties, performance, and qualifications. When essentially the same form was issued as the first fitness report, the major change was the addition of a section wherein the rating officer could offer his narrative comments and make recommendations as to the training and future assignment of the individual. Another added feature was the option of showing or not showing the report to the individual although the supervisors, "by frequent discussions of his work, should let the employee know where he stands." In contrast to its predecessor, the fitness report was to be used for a multiplicity of purposes and applied to every individual in the Agency, both in the field and at Headquarters. [REDACTED] 25X1A

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██████████ dated 21 September 1954 (see Appendix C) stated the responsibilities and procedures for preparing the fitness report, the frequency and occasions for filing the report, and the steps to be taken when the rater believed the employee's performance to be unsatisfactory.

V. , The Two-Part Form, 1956-58

Research on fitness reporting continued into the late 1950's.

Beginning in 1954, the Assessment and Evaluation Staff\* under the

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leadership of ██████████ provided the professional 'expertise' at the direction of the Career Council. By January 1955, ██████████ had developed a form that he considered worthy of "trial balloon" status. This was a modification of Form 37-189 and was circulated to approximately 1,500 supervisory personnel. The reception was not good; in fact, only 173 of the questionnaires were ever completed due to the complicated nature of the appraisal form. The Career Council at its eleventh meeting in July 1955 appointed a Task Force consisting of

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\* The A & E Staff was the lineal descendant of the OSS Assessment Staff and had been transferred from the OSO to the new Training Division in 1951 along with operational training. There was also at this time (1954) a small E.O.D. Test unit administering clerical and professional test batteries to new employees. This unit shuttled back and forth between OTR and OP but was eventually placed in OTR. In any event, it played no part in the development of the fitness report.

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[REDACTED] to confer with [REDACTED] on the whole business of revising 25X1A the fitness reporting system. Several items were of particular interest to the council. They were the use of memoranda for super grades, the use of a shortened form for reassignment and special reports, and the placing of greater emphasis on performance with less emphasis on intangible personality information. 5/ The result was a new fitness report, Form 45, a two-part form designed to perform many tasks. Part I dealt with performance and was pointed mainly towards tasks performed. It was intended to serve for reassignment and special reports. Part II was more confidential in nature and contained management-type material on the individual's potential and privileged information for operating officials and the career boards. It was not to be shown to the individual.

This proposal was favorably received 6/ and the new form was launched in January 1956 (see Appendix D). In the interim, controversy arose over the 'show' or 'no show' issue which was finally resolved by leaving the matter optional. Instructions to the supervisor read as follows:

This report is designed to help you express your evaluation of your subordinates and to transmit this evaluation to your supervisor and senior officials. Organization policy requires that you inform your subordinate where he stands with you.

The Director also "got into the act" at this point by requesting that the new fitness report be modified to include the question, "Has the need for the job which your employee has been performing, changed during the period under review?" 7/ The DCI's question illustrated the difficulty of trying to make the fitness report serve all purposes for all people. In his response to the question, Matt Baird, Director of Training, had this to say in a Memorandum dated 3 November 1955 to the Chairman of the Career Council: 8/

The Fitness Report pertains totally and exclusively to the performance of the individual on the job to which he is assigned. If at the time he is completing the Fitness Report, the supervisor's thinking is contaminated with considerations pertaining to the need for the job, both aspects will suffer. Past experience with Fitness Reporting has indicated objectivity and fairness of reporting are difficult even under the most ideal circumstances. To introduce deliberately a consideration of this sort would probably give inaccurate information on the need for current jobs and tend also to obscure the individual's actual performance record. If the job were marginal, the supervisors might be induced to protect the man by inflating his performance. On the other hand, if the performance were marginal, the supervisor might be more induced to declare the job unnecessary. The interaction of these factors is obviously complex and subject to many unknown hazards.\*

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\* A similar interaction was to arise in connection with recommendations for promotion in fitness reports, which eventually made it necessary to ban such recommendations.

With this issue laid to rest, a number of steps were taken to launch the new fitness report form. A briefing session was conducted

25X1A by [REDACTED] for the senior operating officers. In addition training sessions were held in January for senior administrative and personnel officers throughout the Agency. [REDACTED] and 25X1A

25X1A [REDACTED] and field counterparts were published on 31 January 1956. Policies were included which permitted a memorandum of evaluation in lieu of fitness reports for supergrades and a better definition of the role of the reviewing official. The fitness report Form 45 was a complicated document. There were still no adjectival ratings, but there was a six-point scale for rating performance evaluation, a seven-point scale for rating specific duties, and a five-point scale for rating suitability--distinctions which were hard for the supervisor to make. Thus the complaints continued and so did the experimentation. The Personnel Office was not directly involved in this effort, although it entered the playing field more strongly with the naming of [REDACTED] 25X1A as Deputy Director of Personnel in 1955. [REDACTED] 25X1A was determined to do what he could to make the fitness report an instrument of Career Management rather than a means of psychological research. 9/ Following the appointment of Gordon Stewart as Director of Personnel in January 1957, his office assumed the guiding role in the fitness report system and the psychologists became the advisors.\*

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\* This turn of events was aided by the resignation of [REDACTED] in 1959.

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VI. Further Experimentation, 1956-57

At the meeting of the Career Council held on 17 May 1956, the concept of a "superior and inferior suitability watch list" based on the fitness report ratings was discussed. The Director of Personnel was to be the watch stander. The idea was a good one in theory but proved to be unworkable in practice. The difficulty was one of communication. At the top levels of the Agency, the concept was that the fitness reporting system should be the primary instrument for ridding the Agency of "mediocrity." "Mediocrity" to top management meant inferior or below CIA standards for the grade, whatever they may have been. To the supervisors, on the other hand, who had the daily interface with the employees, "mediocrity" meant "average" and "unsatisfactory" meant that the individual's performance was serious enough to warrant his dismissal. This communication gap was never bridged.\* Instead the experimentation with the fitness report form went on and on.

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On 10 January 1957, [REDACTED] presented a Form 45 which represented a complete revision of Part II, dealing with supervisory potential.

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\* Top management was inclined to attribute its difficulties to the lack of backbone on the part of the line supervisors, who would not face up to their subordinates and tell them where they stood. Supervisors were inexperienced, but mostly they saw the individuals in the context of a relatively small group of people with whom they had to live and from whom they had to get production. These same people seen from the vantage point of the total group looked very different.

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At the Council's direction, [REDACTED] with the assistance of the Task Force on Fitness Reporting, then undertook a comprehensive study of the entire fitness reporting system and of the form necessary to implement it. The group was to start fresh and to ask basic questions involving not only the form itself but also the evaluation system per se. Results were to be submitted to the council in the fall of 1957. A pilot run of the new Form 45 extended this date to January 1958. During this research period, a revised Form 45, still in two parts, Performance and Potential, was given to 30 people--ten from each directorate--who were asked to complete the form for two employees under their jurisdiction. Along the line, the fitness report form had been considerably reduced in bulk. It was now a two-page form, one page of instructions and one of evaluation, but it was still in two parts. The test was not favorable. Gordon Stewart, Director of Personnel in January 1957, and a member of the Fitness Report Task Force from the beginning, felt that a still more simplified form was necessary and that the two-part form was too cumbersome to be successful.<sup>10/</sup> Many supervisors were opposed to the form and to the policy whereby Part I was shown to the individual being rated while Part II was not.

"The conscientious supervisor was in a schizoid climate. All too often a positive face would appear on Part I and a negative one on Part II." <sup>11/</sup>



It was the consensus of numerous operating and administrative officials that the information recorded on Part II, Potential, never really served to identify employees who were intellectually outstanding or those individuals who had the leadership qualities, force, and potential for executive development. These sentiments were universal enough to cause the abandonment of the two-part fitness report in the Agency in 1958 and the termination of the attempt to appraise "potential" in the report.

VII. A Simplified Form 45, 1958-62

After three different forms in five years, a format was developed which prevailed with minor changes until 1962. The new approach recognized the controversial nature of fitness reporting, there being almost as many opinions about it in the Agency as there were people. What a majority wanted and how the majority were using the fitness reports became the basis for the simplified form presented to the Career Council in January 1958. In the process of sampling and testing, the form had been reduced to one page. It now placed emphasis on the evaluation of the employee's performance in his current position. It emphasized narrative evaluation, including justification for relatively high or low ratings. Comment on potential was left to the discretion of the rating officer. The old "show" or "no show" argument was ended. This report required certification by the employee that he had seen the report. The option to evaluate in memorandum form was substituted for Form 45 for

employees in grades GS-14 and above. In reference to the psychologists, a seven-point scale was applied to the section entitled "Evaluation of Specific Duties," a six-point scale to "Evaluation of Overall Performance," and a five-point scale to "Description of the Employee." [REDACTED] 25X1A felt that the multi-scale arrangement would force the supervisor to give more thought to ratings rather than automatically rating an individual three (acceptable) or four (competent) all down the line. 12/

Gordon Stewart, who at this point was Director of Personnel as well as Chairman of the Council, obtained rapid approval of the simplified Form 45 and the new form was made available to supervisors in November of 1958 (see Appendix E). The system was put into effect officially in January of 1959. The Career Council, which convened one month later on 5 February 1959, formally terminated any further review by the Office of Training of the fitness report system and placed the responsibility for implementing the system with the Office of Personnel where it has remained ever since (1971).

#### VIII. Fitness Reporting, Control, and Monitoring

The maintenance of fitness reports records on a current basis was an impossibility during the period of frequent changes to the system. The ink was hardly dry on one form before another came along. Dissatisfaction with the complicated forms in use up to 1958 contributed to the foot dragging. It was not until after the 1958 revision that coverage was improved, and even then the Personnel Office had to set up

a manual follow-up system and furnish information on delinquent reports to operating officials in an endeavor to spur them to accomplish 100-percent coverage. Extensive use of the reports by the Selection Staff for entry into the Career Staff and by boards and panels for selecting personnel for assignment, for competitive promotion, and for training aided in the process of obtaining coverage.

The record was greatly improved in 1962 when the DDCI (General Marshall S. Carter) stepped into the picture and put his weight behind a drive to clear up the delinquent fitness report situation. 13/ Also, in 1962, a computer-based fitness report control was established, which assisted in resolving the problem. Supervisors were presented by "Personnel" with an advance listing, which then served to notify of any delinquency after the due date had been passed.

As to monitoring, the Office of Personnel set up a watch list procedure aimed at following up on actions taken in the instance of adverse reports and at improving uniformity of ratings, but in the main nothing came of this effort. Rating disparities grew between offices and divisions. For a time FE Division found it necessary to stamp its fitness reports, which it felt were very conservative ratings, to this effect so that they would not be misconstrued as a low or bad report when compared with those of other divisions. 14/ The Office of Communications went through a mass devaluation of ratings and regarded it

as necessary to point out this fact by stamping its fitness reports, "prepared in accordance with the new standards issued by the Director of Communications." 15/ The reports also proved to be controversial in determining nominations for individuals for selection out and in ranking personnel on relative retention lists for surplus categories in the '701' exercise of 1959-60. Management annoyance grew over the inflation of ratings\* and the dissimilarity between the good ratings given marginal employees by their immediate supervisors and the adverse action top management was being asked to take on the same individuals. 16/

IX. 1961 Evaluation of Reporting System

The Career Council on 25 May 1961 responded to management's dissatisfaction by requesting the Director of Personnel to make a study of the fitness report system with emphasis on standards and variations therefrom. The OP study, presented to the Career Council on 24 January 1962, was a thorough, professional job (see Appendix F). Tabulations showing the distribution of the various rating scales were derived from an analysis of more than 10,000 reports and the examination in depth of

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\* Colonel White, at that time the DDS, never could understand how the great majority could be above average. It was a contradiction in terms. The DCI, at that time Mr. Dulles, who might understandably have had a pathological view of the organization since only terminal cases reached him, asked in connection with the 701 Program, "Has anybody gone back to the supervisors and asked them why they gave their people good ratings?"

300. The circumstances taken into consideration by the study group in developing its proposal for revising the Fitness Reporting Program were classic.

Difficulty in stating, understanding and interpreting rating standards is not limited to CIA but has long existed in other agencies, the military services and in private organizations. Despite constant efforts to achieve valid rating programs, no one system has yet emerged as conspicuously successful. Our current fitness report is generally regarded as superior to or at least as good as any previously used.

In CIA, it is difficult to provide adequate recognition for individuals who perform well. The Fitness Report thus serves an important purpose of recognizing on the record good or exceptional achievement and performance. The trend, understandably, has been to take a liberal approach in the interest of management-employee relations. This approach has been justified particularly for small overseas units where close and harmonious supervisor-employee association is imperative to successful operation.

Most Agency assignments do not lend themselves to precise definition and description nor to the establishment of formal standards of performance. Characteristically, our system has long recognized that the capabilities of the individual influence what his position, its requirements, and frequently, the grade level will be. Thus, the individual and the job are more nearly synonymous in CIA than in most organizations, a fact which complicates the use of job requirements as a standard for measuring effectiveness of performance.

Perplexing problems have arisen when Career Service officials have sought to take adverse action against an employee frankly acknowledged to be sub-standard but whose Fitness Report faithfully documents his performance and capability over the years as consistently distinguished.

In recognition of the need for improving existing employee evaluation practices, several of our Career Service heads and operating officials have made and are making genuine and aggressive efforts to obtain realistic ratings. Some successes have been achieved, but a unified, Agency-wide effort in this respect has not been undertaken.

The group in its brief found the fitness reporting system to be generally satisfactory. It did raise questions and point to conclusions which were summarized as follows:

The use of three separate rating scales of five, six, and seven degrees makes it difficult for a supervisor to apply standards clearly and uniformly to the three separate rating categories used in the report.

In the use of Fitness Reports for personnel management purposes, a difficulty, similar to that above, exists causing management officials to focus on the rating for Overall Performance, and the narrative statement in their interpretation of a Fitness Report.

Insomuch as the performance of nearly all Agency personnel clearly or greatly exceeds the requirements of their positions, are our people overqualified for the work? Or, are our standards of performance established too low? Or, is the terminology used for our rating standards confusing and unclear? (We have long maintained that our qualifications standards are high and the requirements of most of our work difficult and demanding.)

Reviewing officials may be encouraging unrealistic rating practices by their failure to play an active role in the application of rating standards or to contribute to the evaluation of the individual.

Rating officials may be inadequately trained in the important supervisory function of employee evaluation and fitness reporting.

X. The 1962 Revision of Form 45 and of the Fitness Reporting System

The January 1962 report of the Office of Personnel and the Council deliberations thereon were reflected in the 1962 revision, which still further simplified Form 45 (see Appendix F) by eliminating the three different scales. The form now provided for rating both "specific duties" and "overall performance" on a five-point scale with adjectives describing each level (weak, adequate, proficient, strong, and outstanding). The intervals on the scale were not even. Only one rating was assigned to less than satisfactory performance, but four levels were provided for discriminating among degrees from satisfactory (adequate) to outstanding. The section dealing with evaluation of "personal characteristics" was eliminated and "factors for this evaluation" were transferred to the instructions with the suggestion that they be handled by comment in the narrative section of the report. The role of the reviewing official was strengthened and additional space was provided for narrative comments by the reviewer. He could no longer merely check a box. Instructions were given on a new rating factor which provided for comments on managerial and supervisory responsibilities and abilities. Provision was also made on the fitness report and in the instructions for the individual who was being rated to indicate that he was attaching a memorandum regarding his rating should he so desire.

XI. The 1969 Revision of Form 45

The 1962 form and instructions lasted for seven years, during which time the coverage, quality, content, and usefulness of the reports improved considerably. The five-point scale proved to be universally understood, as shown by the following 1968 rating distribution by the career service.\*

Over-all Performance in Current Duties

Percent

		<u>Out- standing (O)</u>	<u>Strong (S)</u>	<u>Pro- ficient (P)</u>	<u>Ade- quate (A)</u>	<u>Weak (W)</u>
25X9	DCI Group [REDACTED]	23.4	48.2	24.3	3.6	0.5
25X9	DDP Group [REDACTED]	7.2	66.6	24.7	1.4	0.1
25X9	DDS Group [REDACTED]	7.0	63.5	27.8	1.6	0.1
25X9	DDI Group [REDACTED]	6.7	64.0	27.8	1.4	0.1
25X9	DDS&T Group [REDACTED]	9.3	60.4	28.7	1.6	0.0

At least, each major Directorate inflated its ratings uniformly.

\* The table also may reflect the tendency to give "C plus" people a "B" mark, or to translate it into Agency terms, the "P plus" people were being marked in the "S" grade on the factor of "Overall Performance."



Suggestions and recommendations for change were as frequent as ever, but these were resisted successfully until June 1968 when the Deputy Director for Plans (DDP) sent a memorandum to the Director of Personnel which required acknowledgement. The DDP proposed among other things that a three-point scale be used (unsatisfactory, satisfactory, outstanding) and that an annual performance consultation take place which would be attested to by memorandum (see Appendix G). Of the many arguments advanced for the change, two were very strong-- namely, that only three ratings were being used anyway and that the adjectival scale was vague and weasel worded (weak, adequate, proficient, strong, and outstanding). The rating of "adequate" was giving the DDP a particularly bad time in trying to dislodge people who had stacked arms but who could point to the "adequate" rating when adverse action was attempted.

The Director of Personnel (Robert Wattles) was advised by the Executive Director-Comptroller (Colonel White) to approach any changes in the fitness report with great caution. 18/ D/Pers thereupon circulated the DDP proposal to the other deputies on a kind of referendum basis. Their replies were unfavorable to the performance consultation idea and unanimously against change in the five-point scale (see Appendix G). Since there no longer was a Career Council where differences could be worked out, the Director of Personnel made use of the deputies' meetings with the Executive Director to reach a compromise. Agreement

was reached by the deputies at their February 1969 meeting. The five-point scale would be retained. New terms and definitions were given to the bottom end of the scale as shown below, which had the effect of shifting the points so that there were now two ratings for less than satisfactory performance (see Appendix H). Some sentiment existed that this shift would further inflate ratings. Supervisors would be reluctant to pin the "marginal" label on an employee who was on the top edge of the "adequate" scale. Time alone would tell whether or not the change would really be retroactive in the minds of the user of the fitness reports so that all people marked "adequate" would be placed in the "marginal" category. The new terms and definitions are as follows:

- |                    |   |
|--------------------|---|
| U - Unsatisfactory | Performance is unacceptable. A rating in this category requires immediate and positive remedial action. The nature of the action could range from counseling to further training, to placing on probation, to reassignment, or to separation. Describe action taken or proposed in Section C. |
| M - Marginal       | Performance is deficient in some aspects. The reasons for assigning this rating should be stated in Section C and remedial actions taken or recommended should be described.  |
| P - Proficient     | Performance is satisfactory. Desired results are being produced in the manner expected.   |
| S - Strong         | Performance is characterized by exceptional proficiency.  |
| O - Outstanding    | Performance is so exceptional in relation to requirements of the work and in comparison to the performance of others doing similar work as to warrant special recognition.  |

### XII. Selected Issues of Fitness Reporting

#### A. Inflation of Ratings

The human tendency to overrate people is universal to all rating systems. It was a particular source of irritation to Agency management during 1959-60, when the Agency was going through the 701 Program and attempting to separate marginal people, most of whom had good fitness reports. Another manifestation was found at the career board or panel level, where the fitness report rating was proven useless in distinguishing between people for ranking purposes.

The Agency has been reluctant to resort to psychological gimmicks to meet this problem, probably as a result of overdoing the psychologist's approach in the early years. One such device, the so-called forced distribution, assigns a quota to each point in the scale so that a career service cannot have more than a given percentage at each level. Another device was to have the rating official indicate how many employees of similar grades he had rated at each level in the scale, so that management could "get a line" on the rater and his approach to grading (see Appendix I). Then there were those who said that the thing to do was just to change the form every five years or so and start all over again. Finally, there was the alternative of the two-part form. As this history is being written (1971), the Ervin Bill\*

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\* The so called federal employee bill of rights sponsored by Senator Sam J. Ervin, Jr. of North Carolina, passed by the Senate and stalled in the House (October 1971).

may place statutory restraints on the ratings of an employee's personality and potential as an invasion of privacy. Part II of the fitness report, the part not shown to the employee, usually represents this type of material.

The method of combating inflated ratings which is probably best suited to the Agency consists of a periodic review by the Head of the Career Service which attempts to tighten up the situation and is invariably accompanied by some official mark or stamp indicating the new order. The approach taken by the Director of Current Intelligence because of his concern that the new definitions of the rating scale would lead to further inflation of ratings was set forth in a memorandum to all OCI employees in January 1970 (see Appendix J).

B. Promotion Recommendations in Fitness Reports

In July 1968 the Agency decided to adopt a policy under which promotion recommendations could no longer be included in fitness reports. 19/ The policy resulted from a feeling on the part of the career boards that supervisors who recommended promotions in fitness reports were "passing the buck" to the boards while looking good to their subordinates. Although not exactly a noble rationale for keeping promotion recommendations out of fitness reports, the policy was designed to keep supervisors from making promises they could not keep. The first-line supervisor had no authority to promote; he was primarily concerned with rating his subordinates. From a purely practical point

of view, it made sense to minimize as much as possible the interaction of the many factors already present in the delicate business of writing fitness reports and appraising people.

C. Training in Fitness Report Writing

The Deputy Directors in the course of adopting the 1969 changes in the fitness reporting system requested that formal training on fitness reporting be made part of the Agency supervisory training courses and that the "training include what is really expected of supervisors or rating officers, i.e., frankness, forthrightness, objectivity and the like." 20/ The Office of Training introduced these sessions in 1970, recognizing the difficulty of teaching a subject like this in the classroom. For example, the initial classes reacted very negatively to the changes--in effect, they rejected them. In the words of the Director of Training 21/:

"The two main features, a reliable and redefined rating scale and a more precise reporting requirement for the Reviewing Official produced two general comments from the students: stronger rating scale and accompanying definitions would result in an escalation of performance ratings, and the play of a normal degree of subjectivity in the reviewer, combined with the absence of formal standards or criteria to assist him in evaluating the rater objectively, would reduce significantly the goal of strengthening the role of the Reviewing Official. The charges are that the most that can be accomplished by formal training, aside from the information imparted, would be to give the supervisor or rating official a picture of the vital part he plays and his rating plays in the total management picture,

making sure he understands the consequences to him in damaged reputation for the over-rating of mediocre people who later come to the attention of top management."

D. Adjudication and Removal of Unfavorable Fitness Reports

From time to time, proposals were advanced to establish a more formal adjudication procedure for adverse fitness reports or those which the individual considered adverse. For example, in February 1968 the DDP requested, and the Director of Personnel at first agreed to, revising the

25X1A

Militating against the idea was the bureaucratic assumption that this kind of confrontation would immediately become part of the established procedure and be considered a basic right of an employee. Officials were apprehensive concerning the rash of complaints which further elaboration would generate, and it was pointed out that there was a grievance procedure on the books that was sufficiently instructive and clear. The Deputy Directors considered this change when they were examining the 1969 revisions and eventually turned down the proposal on the basis of the arguments noted. They did, however, provide in the instructions, that where a fitness report contained an adverse comment, subsequent fitness reports should then pick up and specifically mention

such comment and the current state of the individual's performance or behavior characteristic. 23/

Along these same lines, the Inspector General suggested in a memorandum to the Director of Personnel in February 1969 that the existence of unfavorable fitness reports in an individual's file could affect decisions regarding promotion and reassignments for many years. The Inspector General suggested that all fitness reports be removed after five years. 24/

The suggestion resulted in a review of federal practice,\* and the following arguments against the proposal were presented 25/:

(1) People having strong or outstanding fitness reports and wanting them retained would greatly outnumber those having poor or middling reports who wanted them removed.

(2) We would lose a central depository for job information. The Fitness Report contains the most available statement of duties actually performed.

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\* To quote from the briefing paper prepared for the Director of Personnel on 18 April 1969, "A review of Federal Personnel Regulations indicates there is no statutory or administrative policy which would preclude this action in the government at large. The Federal Personnel Manual classifies efficiency ratings as temporary documents except where they are outstanding or unsatisfactory, subject to removal (from the Official Personnel File) at the discretion of the Agency or department after three years. The Foreign Service has no specific rules or regulations on the retention of their Personnel Evaluation Report. Their Official Personnel File is divided into an administrative file and a performance file. The latter is further subdivided so that material five years of age and less is separated out and made available to the Selection Board. A spot check with the Navy civilian personnel office indicates that ratings are retained indefinitely in that department." 26/

(3) Review of career progression would be difficult. No other personnel document contains the detailed information in the Fitness Report.

(4) Information would not be available for reassignment where performance in, for example, previous overseas assignments might be very important.

(5) The DDP proposal in January 1968 that Agency Regulations be modified to require an official adjudication when requested by the employee who has received an adversely critical report has been considered. The adjudication authority would be in the chain of command of the Directorate concerned and would be authorized to replace the original report with a new report if it found that an injustice had been done. The original report and its rebuttal by the employee would be retained in the Sensitive Information File of the Office of Personnel. This proposal, which is more precisely targeted, was turned down for reasons previously stated.

The Deputy Directors considered the IG proposal at their 17 April 1969 meeting and rejected it for reasons noted.



Appendix A

Status and Efficiency Report

Form No. 51-53

December 1947

## INSTRUCTIONS

Approved For Release 2000/06/01 : CIA-RDP90-00708R000200100001-6

1. A STATUS AND EFFICIENCY REPORT COVERING EACH CIVILIAN EMPLOYEE IN THE FIELD WILL BE RENDERED BY SUCH EMPLOYEE AND HIS OR HER IMMEDIATE SUPERVISOR ON 1 JUNE OF EACH YEAR ON THIS FORM. EACH EMPLOYEE WILL EXECUTE ITEMS 1 TO 6 INCLUSIVE OF THE FORM AND DELIVER SAME TO HIS REPORTING OFFICER FOR COMPLETION OF THE EFFICIENCY RATING AND FORWARDING TO WASHINGTON HEADQUARTERS NOT LESS THAN 10 DAYS AFTER CLOSE OF REPORTING PERIOD.

A. THE REPORTING OFFICER IS DEFINED AS THE EMPLOYEE'S IMMEDIATE SUPERVISOR, IN OTHER WORDS THE PERSON WHO IS PRESUMABLY BEST ACQUAINTED WITH THE EMPLOYEE'S WORKING EFFICIENCY. HOWEVER, DEPENDING UPON CIRCUMSTANCES, THE CHIEF OF STATION MAY NOT WISH TO ENTRUST THE IMMEDIATE SUPERVISOR WITH THIS RESPONSIBILITY. IN ANY CASE, THE CHIEF OF STATION WILL CHANGE OR MODIFY THE RATING OF THE REPORTING OFFICER WHEN SUCH CHANGES OR MODIFICATIONS ARE CALLED FOR. THE CHIEF OF STATION IS ULTIMATELY RESPONSIBLE FOR THE ACCURACY OF FACTS AND STATEMENTS WHICH APPEAR ON THE STATUS AND EFFICIENCY REPORT. IN MANY CASES, ESPECIALLY IN A SMALL UNIT, THE CHIEF OF STATION MAY WISH TO FILL OUT ALL THE REPORTS HIMSELF.

IN ADDITION TO THE ANNUAL REPORT, THE FOLLOWING SPECIAL REPORTS, UTILIZING THE SAME FORM, WILL BE RENDERED:

A. UPON COMPLETION OF FIRST NINETY (90) DAYS OF SERVICE AT A STATION.

B. UPON RELIEF OR REASSIGNMENT OF REPORTING SENIOR.

C. UPON DETERMINATION OR RECOMMENDATION THAT AN EMPLOYEE IN A FIELD STATION SHOULD BE REASSIGNED TO ANOTHER STATION OR RETURNED TO U.S. FOR REASSIGNMENT OR OTHER DISPOSITION. SUCH REPORT WILL BE FORWARDED SO AS TO REACH THE WASHINGTON HEADQUARTERS AT THE EARLIEST POSSIBLE DATE AFTER SUCH REASSIGNMENT DETERMINATION IS MADE. IF POSSIBLE, THE REPORT SHOULD BE SENT IN AT LEAST THREE MONTHS PRIOR TO PROPOSED REASSIGNMENT IN ORDER THAT ALL TIME POSSIBLE MAY BE DEVOTED TO APPRAISAL AND EVALUATION. IF CONSIDERATION OF REASSIGNMENT IS BEING GIVEN WITHOUT EMPLOYEE'S KNOWLEDGE, ITEMS 1 TO 6 WILL BE FILLED IN AS FAR AS POSSIBLE BY THE RATING OFFICER WITHOUT REFERRAL TO EMPLOYEE.

2. IN FAIRNESS TO THE INDIVIDUAL BEING RATED AND IN THE INTEREST OF THE GOVERNMENT, THE IMPORTANCE OF CAREFULLY PREPARED AND ACCURATE EFFICIENCY REPORTS CANNOT BE OVERSTRESSED. THE FOLLOWING BASIC PRINCIPLES OF RATING SHOULD ALWAYS BE KEPT IN MIND:

ALWAYS BASE YOUR JUDGMENT ON:

(1) WHAT YOU HAVE OBSERVED THE INDIVIDUAL DO OR FAIL TO DO.

(2) TYPICAL PERFORMANCE, NOT ON AN ISOLATED STRIKING INCIDENT.

(3) EXAMPLES RELEVANT TO THE CHARACTERISTIC UNDER CONSIDERATION.

(A) THE EFFICIENCY REPORT IS TO BE USED TO RATE ALL CIVILIAN EMPLOYEES. BUT REPORTING OFFICERS SHOULD BEAR IN MIND THAT DIFFERENT STANDARDS PREVAIL IN DIFFERENT ASSIGNMENTS WHEREAS IT IS NECESSARY, FOR EXAMPLE, THAT AN INTELLIGENCE OFFICER POSSESS INITIATIVE, THIS SAME TRAIT IS NOT ALWAYS DESIRABLE, EXCEPT IN A MINOR WAY, FOR A TYPIST. THE RATINGS AND EVALUATIONS SHOULD BE IN REFERENCE TO THE JOB - THE ACTUAL WORK ASSIGNMENT FOR WHICH THE PARTICULAR EMPLOYEE IS BEING PAID. EVERY EFFORT SHOULD BE MADE TO ARRIVE AT A JUST ESTIMATE OF THE QUALITIES OF THE PERSON REPORTED ON FOR THE PERIOD COVERED BY THE REPORT. AVOID EXAGGERATIONS AND SUPERLATIVES, THEY DETRACT FROM THE VALUE OF A REPORT AND ARE UNFAIR TO OTHERS.

B. BIASED OPINIONS BASED ON PERSONAL LIKES AND DISLIKES MUST BE SCRUPULOUSLY AVOIDED. IT SHOULD BE BORNE IN MIND THAT THE PREPARATION OF EFFICIENCY REPORTS IS AN IMPORTANT FUNCTION OF ALL SUPERVISORS OF EMPLOYEES, AND THE ACCURATE AND TRUE EVALUATIONS EXPRESSED THEREIN ARE A DIRECT REFLECTION UPON HIS OWN ABILITY AND QUALIFICATION FOR THE POSITION HE HOLDS.

C. NO REPORTS WILL BE RENDERED COVERING PERIODS OF LESS THAN 60 DAYS OBSERVED SERVICE.

4. REPORTS WILL NORMALLY BE CLASSIFIED CONFIDENTIAL; HOWEVER, THE CLASSIFICATION MAY BE RAISED IF DEEMED ADVISABLE BY RATING OFFICER.

5. REPORTS WILL NEVER BE SHOWN TO THE EMPLOYEE REPORTED ON.

## DISPOSITION OF REPORTS

1. REPORTS WILL BE FORWARDED TO THE APPROPRIATE BRANCH CHIEF IN WASHINGTON HEADQUARTERS WITHIN TEN (10) DAYS AFTER THE CLOSE OF THE REPORTING PERIOD.

2. IF THE REPORTING OFFICER IS THE CHIEF OF STATION, REPORTS WILL BE FORWARDED BY HIM TO THE APPROPRIATE BRANCH CHIEF IN WASHINGTON HEADQUARTERS.

3. IF THE REPORTING OFFICER IS NOT THE CHIEF OF STATION, THE REPORT WILL BE REFERRED TO THE NEXT IN COMMAND FOR REVIEW AND FINALLY TO THE CHIEF OF STATION FOR FORWARDING TO WASHINGTON HEADQUARTERS.

4. UPON RECEIPT OF REPORT IN WASHINGTON HEADQUARTERS, THEY WILL BE REVIEWED BY THE BRANCH CHIEFS PROMPTLY AND THEN REFERRED TO THE ASSISTANT EXECUTIVE FOR PERSONNEL FOR RETENSION IN THE PERSONNEL FILE OF THE EMPLOYEE.

A. IF A CHANGE OF PERSONAL STATUS IS REPORTED UNDER SECTION 6, ONE COPY OF SUCH REPORT WILL BE DETACHED AND SENT TO THE SECURITY OFFICE.

ANY DESIRED REMARKS OF REVIEWING OFFICER AND/OR CHIEF OF STATION

Approved For Release 2000/06/01 : CIA-RDP90-00708R000200100001-6

SECTIONS 1 THROUGH 6 WILL BE COMPLETED BY EMPLOYEE. TYPEWRITER WILL BE USED IF POSSIBLE.

NAME (PRINTED)	LAST	FIRST	MIDDLE	CAF RATING	SALARY	DATE OF ASSIGNMENT TO PRESENT DUTY
----------------	------	-------	--------	------------	--------	------------------------------------

2. DESCRIPTION OF DUTIES SINCE LAST EFFICIENCY REPORT. (LIST MOST RECENT FIRST, DESCRIBE CONCISELY BUT FULLY)

1. 2. 3. 4. 5. 6. 7. 8. 9. 10.

3. IF COURSES OF INSTRUCTION WERE COMPLETED DURING PERIOD OF THIS REPORT, LIST TITLE, LOCATION OF SCHOOL, LENGTH OF COURSE AND DATE COMPLETED.

4. PROFICIENCY IN FOREIGN LANG.	READING			SPEAKING			UNDERSTANDING		
	EXC	GOOD	FAIR	EXC	GOOD	FAIR	EXC	GOOD	FAIR
SPANISH									
FRANCE									
GERMAN									
ITALY									
RUSSIA									
OTHER									

5. MY PREFERENCE FOR NEXT DUTY AFTER TERMINATION OF CURRENT ASSIGNMENT IS: (IF IN US-50, STATE) TYPE OF DUTY LOCATION

1. 2. 3. 4. 5. 6. 7. 8. 9. 10.

(LIST ONE OR MORE IN ORDER OF PREFERENCE)

6. HAVE THERE BEEN ANY CHANGES IN PERSONAL STATUS SINCE ORIGINAL EMPLOYMENT OR LAST REPORT - WHICHEVER IS LATER?

MARITAL STATUS ☐ YES ☐ NO NUMBER OF DEPENDENTS ☐ YES ☐ NO EMERGENCY ADDRESSEE ☐ YES ☐ NO LEGAL ADDRESS ☐ YES ☐ NO

IF THE ANSWER TO ANY OF THE ABOVE IS YES, ATTACH A SEPARATE DETAILED REPORT IN DUPLICATE HERETO, IN THE CASE OF MARRIAGE, THE REPORT WILL INCLUDE NAMES, ADDRESSES, AND CITIZENSHIP OF SPOUSE, FATHER-IN-LAW, MOTHER-IN-LAW, BROTHERS-IN-LAW AND SISTERS-IN-LAW.

DATE

SIGNATURE OF EMPLOYEE

SECTIONS 7 THROUGH 11 TO BE COMPLETED BY IMMEDIATE SUPERVISOR

7. PERIOD COVERED BY THIS REPORT

DATE FROM DATE TO

OCCASION FOR REPORT

ANNUAL ☐ REASSIGNMENT OF REPORTING OFFICER ☐ PROPOSED REASSIGNMENT OF EMPLOYEE REPORTED ON ☐ COVERING INITIAL NO DAYS OF EMPLOYMENT ☐

8. IS THIS EMPLOYEE QUALIFIED TO PERFORM ALL PRESENT DUTIES? ☐ YES ☐ NO IS EMPLOYEE BETTER QUALIFIED FOR OTHER DUTIES? ☐ YES ☐ NO IF SO, WHAT DUTY OR DUTIES

DO YOU CONCUR IN EMPLOYEE'S DESCRIPTION OF DUTIES UNDER SECTION 2? ☐ YES ☐ NO IF NO, EXPLAIN IN SECTION 11

HAS EMPLOYEE STRIVEN FOR PROFESSIONAL IMPROVEMENT? ☐ YES ☐ NO DO YOU RECOMMEND EMPLOYEE FOR PROMOTION? ☐ YES ☐ NO IF SO, TO WHAT GRADE AND FOR WHAT POSITION?

9. FOR EACH FACTOR OBSERVED CHECK THE APPROPRIATE BOX TO INDICATE HOW THE EMPLOYEE COMPARES WITH ALL OTHERS OF THE SAME CLASSIFICATION WHOSE PROFESSIONAL ABILITIES ARE KNOWN TO YOU PERSONALLY. DO NOT LIMIT THIS COMPARISON TO THE OTHERS NOW UNDER YOUR SUPERVISION. DO NOT HESITATE TO MARK "NOT OBSERVED" ON ANY QUALITY WHEN APPROPRIATE.

RATING FACTORS	NOT OBSERVED	UNSATISFACTORY	FAIR	GOOD	VERY GOOD	EXCELLENT	OUTSTANDING
A. ABILITY TO WORK AND GET ALONG WITH PEOPLE							
B. INTEREST AND ENTHUSIASM IN WORK							
C. SECURITY CONSCIOUSNESS							
D. ABILITY TO GRASP INSTRUCTIONS AND PLANS							
E. ATTENTION TO DUTY							
F. JUDGMENT AND COMMON SENSE							
G. ABILITY TO OBTAIN RESULTS AND GET THINGS DONE							
H. DISCRETION							
I. INITIATIVE							
J. ABILITY TO HANDLE AND DIRECT PEOPLE							
K. PERFORMANCE OF PRESENT DUTIES (ITEM 2)							
L. ABILITY TO EVALUATE INTELLIGENCE INFORMATION							
M. TACT							
N. SAGACITY (NON-GULLIBILITY)							
O. LEADERSHIP							
P. PHYSICAL STAMINA							
Q. MENTAL STAMINA							

10. INDICATE YOUR ATTITUDE TOWARD HAVING THIS EMPLOYEE UNDER YOUR COMMAND OR SUPERVISION. WOULD YOU PLEASE? ☐ YES ☐ NO ☐ PARTIALLY

FORM NO. 51-53  
Dec. 1947

Replaces Form No. 55-2 which  
may continue to be used.

STATUS AND EFFICIENCY REPORT

(SEE INSTRUCTIONS ON REVERSE SIDE)

SECTIONS 1 THROUGH 6 WILL BE COMPLETED BY EMPLOYEE.

TYPEWRITER WILL BE USED IF POSSIBLE.

1. NAME (PRINTED) LAST FIRST MIDDLE CAF RATING SALARY DATE OF ASSIGNMENT TO PRESENT DUTY

2. DESCRIPTION OF DUTIES SINCE LAST EFFICIENCY REPORT. (LIST MOST RECENT FIRST, DESCRIBE CONCISELY BUT FULLY)

3. IF COURSES OF INSTRUCTION WERE COMPLETED DURING PERIOD OF THIS REPORT, LIST TITLE, LOCATION OF SCHOOL, LENGTH OF COURSE AND DATE COMPLETED.

4. PROFICIENCY IN FOREIGN LANG.	READING			SPEAKING			UNDERSTANDING		
	EXC	GOOD	FAIR	EXC	GOOD	FAIR	EXC	GOOD	FAIR

5. MY PREFERENCE FOR NEXT DUTY AFTER TERMINATION OF CURRENT ASSIGNMENT IS: (IF IN US-50 STATE) TYPE OF DUTY LOCATION (LIST ONE OR MORE IN ORDER OF PREFERENCE)

6. HAVE THERE BEEN ANY CHANGES IN PERSONAL STATUS SINCE ORIGINAL EMPLOYMENT OR LAST REPORT - WHICHEVER IS LATER? MARITAL STATUS YES NO NUMBER OF DEPENDENTS YES NO EMERGENCY ADDRESSEE YES NO LEGAL ADDRESS YES NO IF THE ANSWER TO ANY OF THE ABOVE IS YES, ATTACH A SEPARATE DETAILED REPORT IN DUPLICATE HERETO. IN THE CASE OF MARRIAGE, THE REPORT WILL INCLUDE NAMES, ADDRESSES, AND CITIZENSHIP OF SPOUSE, FATHER-IN-LAW, MOTHER-IN-LAW, BROTHERS-IN-LAW AND SISTERS-IN-LAW.

DATE SIGNATURE OF EMPLOYEE

SECTIONS 7 THROUGH 11 TO BE COMPLETED BY IMMEDIATE SUPERVISOR

7. PERIOD COVERED BY THIS REPORT DATE FROM DATE TO OCCASION FOR REPORT ANNUAL REASSIGNMENT OF PROPOSED REASSIGNMENT COVERING INITIAL 90 DAYS OF EMPLOYMENT REPORTING OFFICER OF EMPLOYEE REPORTED ON

8. IS THIS EMPLOYEE QUALIFIED TO PERFORM ALL PRESENT DUTIES? YES NO IS EMPLOYEE BETTER QUALIFIED FOR OTHER DUTIES? YES NO IF SO, WHAT DUTY OR DUTIES

GENERAL

1. A STATUS AND EFFICIENCY REPORT COVERING EACH CIVILIAN EMPLOYEE IN THE FIELD WILL BE RENDERED BY SUCH EMPLOYEE AND HIS OR HER IMMEDIATE SUPERVISOR ON 1 JUNE OF EACH YEAR ON THIS FORM. EACH EMPLOYEE WILL EXECUTE ITEMS 1 TO INCLUSIVE OF THE FORM AND DELIVER SAME TO HIS REPORTING OFFICER FOR COMPLETION OF THE EFFICIENCY RATING AND FORWARDING TO WASHINGTON HEADQUARTERS NOT LESS THAN 10 DAYS AFTER CLOSE OF REPORTING PERIOD.

A. THE REPORTING OFFICER IS DEFINED AS THE EMPLOYEE'S IMMEDIATE SUPERVISOR, IN OTHER WORDS THE PERSON WHO IS PRESUMABLY BEST ACQUAINTED WITH THE EMPLOYEE'S WORKING EFFICIENCY. HOWEVER, DEPENDING UPON CIRCUMSTANCES, THE CHIEF OF STATION MAY NOT WISH TO ENTRUST THE IMMEDIATE SUPERVISOR WITH THIS RESPONSIBILITY. IN ANY CASE, THE CHIEF OF STATION WILL CHANGE OR MODIFY THE RATING OF THE REPORTING OFFICER WHEN SUCH CHANGES OR MODIFICATIONS ARE CALLED FOR. THE CHIEF OF STATION IS ULTIMATELY RESPONSIBLE FOR THE ACCURACY OF FACTS AND STATEMENTS WHICH APPEAR ON THE STATUS AND EFFICIENCY REPORT. IN MANY CASES, ESPECIALLY IN A SMALL UNIT, THE CHIEF OF STATION MAY WISH TO FILL OUT ALL THE REPORTS HIMSELF.

2. IN ADDITION TO THE ANNUAL REPORT, THE FOLLOWING SPECIAL REPORTS, UTILIZING THE SAME FORM, WILL BE RENDERED:

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3. IN FAIRNESS TO THE INDIVIDUAL BEING RATED AND IN THE INTEREST OF THE GOVERNMENT, THE IMPORTANCE OF CAREFULLY PREPARED AND ACCURATE EFFICIENCY REPORTS CANNOT BE OVERSTRESSED. THE FOLLOWING BASIC PRINCIPLES OF RATING SHOULD ALWAYS BE KEPT IN MIND:

A. ALWAYS BASE YOUR JUDGMENT ON:

(1) WHAT YOU HAVE OBSERVED THE INDIVIDUAL DO OR FAIL TO DO.

(2) TYPICAL PERFORMANCE, NOT ON AN ISOLATED STRIKING INCIDENT.

(3) EXAMPLES RELEVANT TO THE CHARACTERISTIC UNDER CONSIDERATION.

(A) THE EFFICIENCY REPORT IS TO BE USED TO RATE ALL CIVILIAN EMPLOYEES. BUT REPORTING OFFICERS SHOULD BEAR IN MIND THAT DIFFERENT STANDARDS PREVAIL IN DIFFERENT ASSIGNMENTS WHEREAS IT IS NECESSARY, FOR EXAMPLE, THAT AN INTELLIGENCE OFFICER POSSESS INITIATIVE. THIS SAME TRAIT IS NOT ALWAYS DESIRABLE, EXCEPT IN A MINOR WAY, FOR A TYPIST. THE RATINGS AND EVALUATIONS SHOULD BE IN REFERENCE TO THE JOB - THE ACTUAL WORK ASSIGNMENT FOR WHICH THE PARTICULAR EMPLOYEE IS BEING PAID. EVERY EFFORT SHOULD BE MADE TO ARRIVE AT A JUST ESTIMATE OF THE QUALITIES OF THE PERSON REPORTED ON FOR THE PERIOD COVERED BY THE REPORT. AVOID EXAGGERATIONS AND SUPERLATIVES, THEY DETRACT FROM THE VALUE OF A REPORT AND ARE UNFAIR TO OTHERS.

B. BIASED OPINIONS BASED ON PERSONAL LIKES AND DISLIKES MUST BE SCRUPULOUSLY AVOIDED. IT SHOULD BE BORNE IN MIND THAT THE PREPARATION OF EFFICIENCY REPORTS IS AN IMPORTANT FUNCTION OF ALL SUPERVISORS OF EMPLOYEES, AND THE ACCURATE AND TRUE EVALUATIONS EXPRESSED THEREIN ARE A DIRECT REFLECTION UPON HIS OWN ABILITY AND QUALIFICATION FOR THE POSITION HE HOLDS.

C. NO REPORTS WILL BE RENDERED COVERING PERIODS OF LESS THAN 60 DAYS OBSERVED SERVICE.

4. REPORTS WILL NORMALLY BE CLASSIFIED CONFIDENTIAL; HOWEVER, THE CLASSIFICATION MAY BE RAISED IF DEEMED APPROPRIATE BY THE RATING OFFICER.

Appendix B

Documents on Personnel Evaluation Program

25X1A



Flow Chart

Personnel Evaluation Report

RESTRICTED  
Security Information

25X1A

CENTRAL INTELLIGENCE AGENCY  
Washington, D. C.

NOTICE  
NO. 94-52

1 August 1952

SUBJECT: Steps in the Inauguration of the Personnel Evaluation Program.

REFERENCE: CIA Regulation 25X1A (Revised), effective 1 August 1952.

1. The need for the CIA Personnel Evaluation Program is immediate. The normal procedure for preparing a Personnel Evaluation Report on the anniversary of the individual's entrance on duty in CIA would unnecessarily delay the program for some individuals. In order to activate the program as soon as practicable, it will be phased into operation as follows:

a. Phase 1: August through October, 1952

Training and indoctrination of supervisors and other Agency officials will be conducted jointly by the Personnel Office and the Office of Training. This indoctrination will be concerned with the purposes, uses and anticipated results of the Personnel Evaluation Program and the use of the Personnel Evaluation Report (Form 37-151). Responsibility for phase 1 is located in the Management Training Division, Office of Training, (Chief) Room 1307 "I" Building, Extension 2761. This office will establish schedules for conferences and seminars as required.

b. Phase 2: October through December, 1952

The first annual cycle for the preparation of Personnel Evaluation Reports will be telescoped into the last three months of 1952 according to the schedule below. In addition, Initial Reports will be prepared for all personnel who, during this period, complete their first nine months of service with the Agency, exclusive of time spent in provisional status pending full security clearance; i. e., trial-period personnel. Responsibility for phase 2 is located in the Personnel Division (O) and the Personnel Division (C) of the Personnel Office.

Schedule

EOD Anniversary Month	1st Annual Report due in Month of	2nd Annual Report due in Month of	Interval between reports in Months
June	Oct 52	Jun 53	8
July	Oct 52	Jul 53	9

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Aug	Oct 52	Aug 53	10
Sep	Oct 52	Sep 53	11
Oct	Nov 52	Oct 53	11
Nov	Nov 52	Nov 53	12
Dec	Nov 52	Dec 53	13
Jan	Nov 52	Jan 54	14
Feb	Dec 52	Feb 54	14
Mar	Dec 52	Mar 54	15
Apr	Dec 52	Apr 54	16
May	Dec 52	May 54	17

c. Phase 3: January through May, 1953

Only Initial (for trial-period personnel), Special, and Reassignment Personnel Evaluation Reports will be prepared during this period. Responsibility for the initiation of Initial Reports is located in the Personnel Division (O) and the Personnel Division (C) of the Personnel Office. Responsibility for the initiation of Special and Reassignment Reports is located in the Office concerned.

d. Phase 4: June 1953

By this date the normal annual cycle and schedule of Personnel Evaluation Reports is in full operation. Responsibility for phase 4 is located in the Personnel Division (O) and the Personnel Division (C) of the Personnel Office which will continue the operation of the program.

2. Guidance and detailed responsibilities for the Personnel Evaluation Program are outlined in Notice No. 95-52. "Personnel Evaluation".
3. Personnel Evaluation Reports for overseas personnel will be prepared in accordance with procedures to be issued at a later date.

FOR THE DIRECTOR OF CENTRAL INTELLIGENCE:

25X1A

L. K. WHITE  
Acting Deputy Director  
(Administration)

DISTRIBUTION NO. 4

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Security Information



25X1A

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Security Information

CENTRAL INTELLIGENCE AGENCY  
Washington, D.C.

1 August 1952

NOTICE  
NO. 95-52

SUBJECT: Personnel Evaluation

REFERENCE: (Revised), effective 1 August 1952

1. Purpose

This Notice provides guidance and outlines detailed responsibilities for personnel evaluation.

2. Definition of Personnel Evaluation

a. Personnel evaluation as used in the Central Intelligence Agency is the supervisor's considered and judicious appraisal of the performance and capabilities of each individual for whom he is immediately responsible. This evaluation is in terms of the requirements of the individual's current position and his potential for long-term service with the Agency. It is not a performance or an efficiency rating in the sense that individuals are compared on the basis of a predetermined adjectival or numerical scale.

b. The significance of a personnel evaluation lies in the constructive action which will be taken to develop and use each individual's abilities and potentialities most effectively.

3. Need for Evaluationa. Continuing Day-by-Day Evaluation

A supervisor must be continually aware of the abilities and performance of each person in his organization if he is actively to aid him to develop his skills and abilities. The insight gained from continuing appraisals will enable the supervisor to stimulate the productivity and job confidence of his people and to develop teamwork and pride in the organization.

b. Recording Evaluations

In addition to day-by-day guidance, it is necessary that periodic written reports be prepared as an essential element in

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Security Information

each individual's career plan. The preparation of these reports will serve periodically to focus the supervisor's attention on the actual and potential contributions of each individual. Through this process the supervisor acquires a systematic inventory of the human resources within his unit.

4. Specific Uses of Personnel Evaluation

The uses of personnel evaluation include the following:

- a. Identifying each person's aptitudes, knowledges, skills and interests;
- b. Promoting discussions between supervisors and those supervised concerning work performance and career development;
- c. Increasing individual efficiency by spotting and correcting specific problems and deficiencies and helping in the development of desirable traits;
- d. Serving as a basis for individual plans for career development;
- e. Identifying outstanding service;
- f. Identifying individuals who fail to perform as effective members of the organization; and
- g. Identifying the need for training, reassignment, rotation, promotion, demotion, separation and other formal personnel actions.

5. Responsibilities for Personnel Evaluation

a. Responsibilities of Individuals

Each individual must understand the responsibilities and requirements of his position. This is an inherent condition of employment and imposes a responsibility upon the individual to discuss with his immediate supervisor any problem or uncertainty which obscures his comprehension of his work. This does not minimize the responsibility of the supervisor for ensuring that those whom he supervises are provided with full information as to their jobs. A clear understanding between the supervisor and the individual is the result of a reciprocal relationship, and effective performance by and development of the individual proceed from the two-way communication between them.

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Security Information

b. Responsibilities of Supervisors

(1) Immediate Supervisor

The immediate supervisor who assigns and reviews the work of others bears primary responsibility for evaluating, guiding and developing the potentialities and capabilities of those whom he supervises. In order to record his evaluations and recommendations, he will prepare Personnel Evaluation Reports as required.

(2) Reviewing Official

The supervisor next in line of authority above the immediate supervisor is responsible for reviewing Personnel Evaluation Reports. He will determine whether they conform to pertinent Agency policy and regulations and will assist in the effective use of the recorded information. He has the additional responsibility of ensuring that supervisors under his authority are effective in directing, leading, evaluating and developing their personnel.

c. Responsibilities of Office Career Service Boards

It is the responsibility of each Office Career Service Board to review plans contained in the Personnel Evaluation Report for the training, assignment, advancement, rotation or promotion of each individual falling within its jurisdiction and to recommend to the Assistant Director or Office head the action that should be taken.

6. Types of Reports

a. Initial Reports

The supervisor will prepare a Personnel Evaluation Report for each individual at the end of his first nine months of service with the Agency, exclusive of time that may have been spent in provisional status pending full security clearance. Such a report will be made regardless of the length of time that the individual has been under his immediate supervision.

b. Annual Reports

The supervisor will prepare a Personnel Evaluation Report annually for each individual on the anniversary of his entrance on duty unless a report has been made within the three months

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prior to the anniversary date. When necessary the due date of an annual report will be deferred until the individual has been under the supervisor's jurisdiction for 90 days.

c. Special Reports

The supervisor will prepare a Personnel Evaluation Report when an individual leaves the Agency. This report will include the supervisor's recommendation concerning his suitability for re-employment. Such special reports shall be attached to the Personnel Action Request form when it is forwarded to the Personnel Office. Special reports also may be made whenever they are administratively required.

d. Reassignment Reports

A Personnel Evaluation Report will be prepared for an individual whenever his supervisor is to be permanently changed. Supervisors who are to be reassigned will prepare reports for all persons under their immediate jurisdiction. Supervisors will prepare reports for individuals who are to be reassigned from their units. In case the immediate supervisor is not available, such reassignment reports will be prepared by the person next in line who has direct knowledge of the individual's work. The Assistant Director (Personnel) or his designated representative may grant temporary exemption from this requirement to specific organizational components of the Agency.

7. Preparation of Reports (See Flow Chart attached)

a. Prior to the date an initial or annual Personnel Evaluation Report is due, the Personnel Office will notify the Office concerned through the official designated by the Office to serve as its Evaluations Officer, with responsibility for administrative activities connected with the personnel evaluation program. The Evaluations Officer will initiate action on Form 37-151 by entering the identifying data in Items 1 through 6 on the form and forwarding it in duplicate to the appropriate supervisor. Special reports may be initiated either by the Personnel Office or by the Office concerned. Reassignment reports will be initiated by the Office concerned.

b. The supervisor will furnish the form in duplicate to the individual concerned who will complete Items 7 through 10. At the time the supervisor transmits the form to the individual, he will offer his assistance and cooperation.

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c. The supervisor will complete Items 11 through 18 and will exercise considered judgment in appraising the adequacy of the work performed, the qualifications of the individual for his position and his potentialities for greater service to the Agency. Upon completion of the evaluation, he will forward the form to the appropriate reviewing official.

d. Item 17 of the form provides a means for formalizing warnings to individuals concerning ineffective performance. If it is the supervisor's considered opinion that the individual's work contribution has been sufficiently ineffective to require adverse action, he will attach to each of the copies of the Personnel Evaluation Report a copy of a warning memorandum. If the supervisor has not already given the individual such a memorandum, he will prepare one at the time the Report is made. Warning memoranda will be coordinated with the Personnel Office before they are given to the individual. When attached to Personnel Evaluation Reports, they will serve to alert the Personnel Office and appropriate Career Service Boards to situations requiring special attention.

e. The reviewing official will discuss the report with the supervisor in order to analyze the results of the evaluation and to determine whether additional action should be recommended to improve or better utilize the individual's skills. The reviewing official also should discuss with the immediate supervisor any recommendations which would assist the supervisor in carrying out his responsibilities in the personnel evaluation process and in taking appropriate action based on the evaluation. Upon the conclusion of his review and after discussion with the supervisor, the reviewing official will sign the form in duplicate and will forward both copies to the supervisor.

8. The Interview

a. Within one week after a Personnel Evaluation Report has been reviewed by the reviewing official, or as soon thereafter as practicable the supervisor will interview the individual concerned to apprise him of the evaluation and to use the Report as a basis for constructive discussion and planning.

b. The interview will have an important influence on the relationship between the supervisor and the individual. Therefore, the supervisor should adapt his approach specifically to each individual and plan the content and sequence of the discussion according to the personal relationship existing between them.

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c. During the interview, the supervisor will discuss each item of the Report. He should encourage the individual to discuss his understanding of his duties and responsibilities in order to resolve any misunderstanding of what is expected of him. He should express recognition of the individual's strengths and work achievements. Discussion of specific shortcomings should be coupled with constructive suggestions of means by which the individual can improve himself with assistance through supervision, rotation and training. In this connection, he should encourage the individual to analyze any work, personal or other situational factors which may have affected his performance. Before closing the interview, the supervisor should summarize the results of the discussion emphasizing the course of mutual action which has been developed to advance the individual's effectiveness with the Agency.

#### 9. Routing of Reports

a. Upon completion of the discussion with the individual, the supervisor will sign both copies of the Report and submit them to the Evaluations Officer. He will retain the duplicate copy and forward the original to the Personnel Division, overt or covert, within thirty days of the due date (the last date covered by the evaluation period) except that trial period Reports will be submitted within fifteen days of the due date. The duplicate copy, which is retained by the Evaluations Officer, will be made available to the Office Career Service Board.

b. The Personnel Office will review the Personnel Evaluation Report and will consult the Office concerned with respect to any action which appears to be necessary or desirable. The original copy of the Personnel Evaluation Report will be filed in the individual's official personnel folder.

c. If an individual's performance is described as unsatisfactory by the attachment of a warning memorandum to his annual Personnel Evaluation Report, the fact will be posted to his service record card by the Transactions and Records Branch of the appropriate Personnel Division. This will make the individual ineligible for a periodic pay increase until his next annual report is made. Advisory Appeal Boards appointed and convened in accordance with [REDACTED] will, at the individual's request, re-examine official warning memoranda and recommend action to the appropriate officials.

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10. Personnel Evaluation Reports for Field Personnel.

Personnel Evaluation Reports for individuals who are serving in the field will be prepared and submitted in conformance with the principles of this Notice. Procedures adapting this Notice to field situations will be established through appropriate field instructions.

FOR THE DIRECTOR OF CENTRAL INTELLIGENCE:

25X1A

  
L. K. WHITE  
Acting Deputy Director  
(Administration)

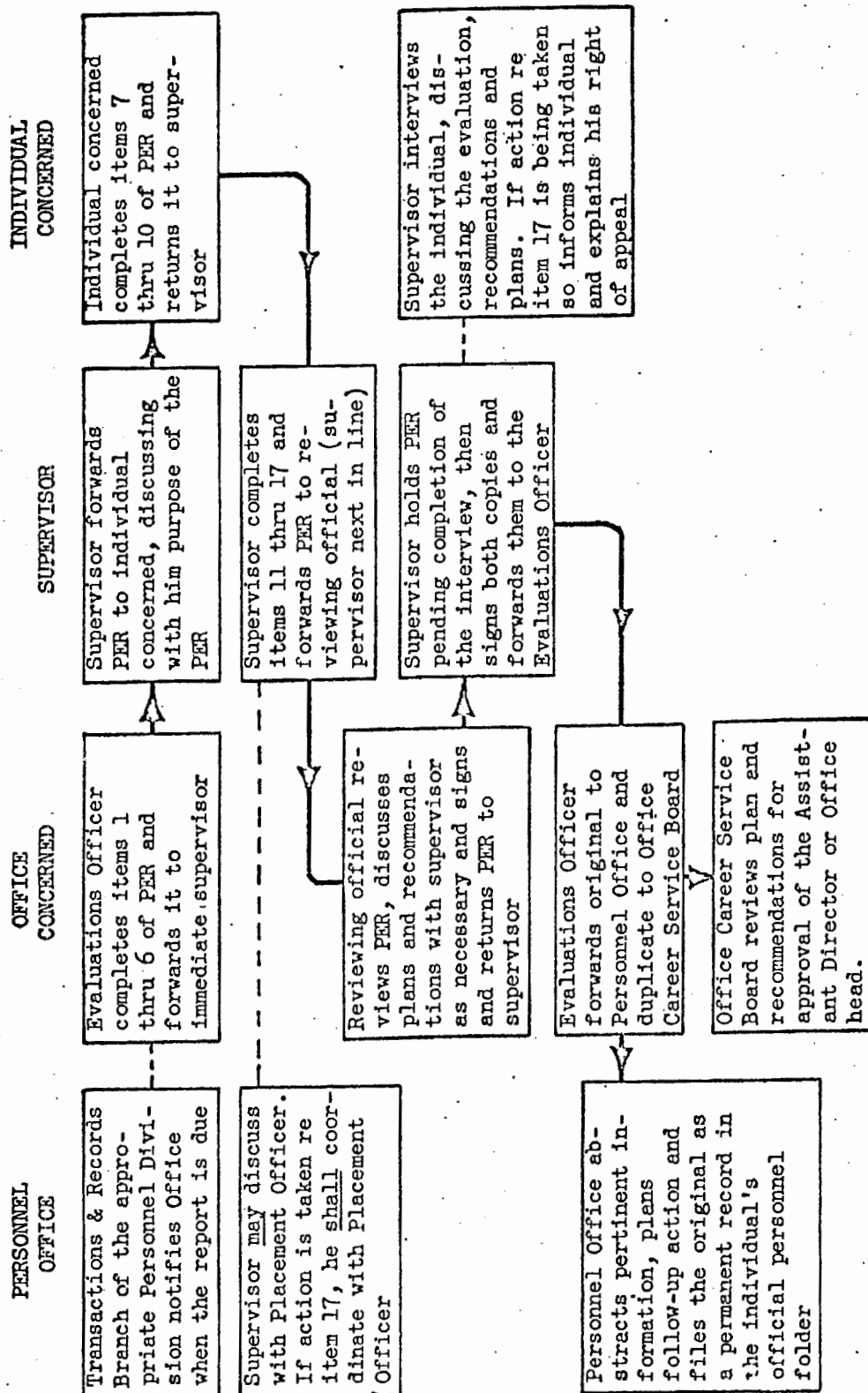
DISTRIBUTION NO. 4

Attachments: Flow Chart  
Personnel Evaluation Report

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PERSONNEL EVALUATION REPORT  
Flow Chart  
(Initial and Annual Reports)



→ routing of PER  
--- related action

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SECURITY INFORMATION

## PERSONNEL EVALUATION REPORT

(See Instructions on Reverse Side)

The Personnel Evaluation Report is an important part of the Career Service Program. It seeks to assure for every person a carefully planned career, with advancement based on demonstrated ability. For the individual, it means an opportunity to voice his interests and to discuss his job and his progress with his supervisor. To the supervisor, it gives assistance in carrying out a major responsibility, the development of the people he supervises. For the Agency as a whole, it means successful teamwork based on mutual understanding and respect.

THIS PORTION TO BE DETACHED ONLY BY AUTHORIZED OFFICIAL

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## 20. COMMENTS (Continued):

## INSTRUCTIONS

## 1. Instruction to the Administrative or Personnel Officer

Consult current Administrative Instructions regarding the initiation and transmittal of this report.

## 2. Instruction to the person evaluated

Since this evaluation will become an important part of your record, you will want to give to it as much care and attention as you would like to have it receive from your Supervisor and the Reviewing Official. With respect to Items 8 and 9, you should include courses of instruction or assignments, either within or outside of the Agency, which you consider pertinent to your career development.

## 3. Instruction to the Supervisor and the Reviewing Official

- a. As the supervisor who assigns, directs and reviews the work of others, you bear primary responsibility for planning and fostering the development of each person under your supervision, commensurate with his capacity, aptitude, knowledge and skills. As an alert supervisor, you judge the people working with you on a job-by-job and day-by-day basis and use this information in carrying out your supervisory responsibilities. Although evaluation is a continuous process, it is necessary periodically to record your observations and recommendations for appropriate action. In preparing the report you should consider the individual's capabilities for further development in his present assignment and his potentialities for more effective utilization in other positions, including work of a more responsible and difficult nature.

- b. The following traits are generally regarded as having some bearing on a person's performance and development. Although you are not asked for specific ratings, do not hesitate to refer to these or similar traits in your comments, which should be terse and precise.

COOPERATION  
DEPENDABILITY  
ACCURACY  
SECURITY CONSCIOUSNESS  
INITIATIVE

RESOURCEFULNESS  
STABILITY UNDER PRESSURE  
ABILITY TO OBTAIN RESULTS  
JUDGMENT  
LEADERSHIP

- c. In fairness to the individual and in the interest of the Agency, the importance of carefully prepared and accurate Personnel Evaluation Reports can not be overstressed. The following basic principles of evaluation should be kept in mind:

## (1) Base your judgment on

- (a) What you have observed the individual do or fail to do.
- (b) Typical performance as well as critical incidents.
- (c) Examples relevant to the duties under consideration.

## (2) Different standards prevail in different assignments. Every effort should be made to arrive at a just estimate of the qualities of the individual as demonstrated during the report period. Avoid exaggerations. They detract from the value of the report and are unfair to others.

## (3) BIASED OPINIONS BASED ON PERSONAL LIKES AND DISLIKES MUST BE SCRUPULOUSLY AVOIDED. IT SHOULD BE BORNE IN MIND THAT THE PREPARATION OF EVALUATION REPORTS IS AN IMPORTANT RESPONSIBILITY OF ALL SUPERVISORS AND THEIR CAREFUL PREPARATION IS AN INDICATION OF THE SUPERVISOR'S OWN ABILITY AND QUALIFICATION FOR THE POSITION HE HOLDS.

A FRANK DISCUSSION BETWEEN SUPERVISOR AND INDIVIDUAL CONCERNING THIS REPORT IS NECESSARY IN ORDER TO ASSIST IN THE DEVELOPMENT AND BEST USE OF EVERY INDIVIDUAL'S CAPABILITIES.

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## PERSONNEL EVALUATION REPORT

Items 1 through 6 will be completed by Administrative or Personnel Officer

1. NAME (Last) (First) (Middle) 2. GRADE 3. POSITION TITLE

4. OFFICE

STAFF OR DIVISION

BRANCH

☐ DEPT'L.

IF FIELD, SPECIFY STATION

☐ FIELD

5. PERIOD COVERED BY REPORT

From

To

6. TYPE OF REPORT

☐ Initial☐ Annual☐ Special☐ Reassignment☐ Reassignment of Supervisor

Items 7 through 10 will be completed by the person evaluated

7. LIST YOUR MAJOR DUTIES IN APPROXIMATE ORDER OF IMPORTANCE, WITH A BRIEF DESCRIPTION OF EACH. OMIT MINOR DUTIES.

8. LIST COURSES OF INSTRUCTION COMPLETED DURING REPORT PERIOD.

Name of Course

Location

Length of Course

Date Completed

9. IN WHAT TYPE OF WORK ARE YOU PRIMARILY INTERESTED?

IF DIFFERENT FROM YOUR PRESENT JOB, EXPLAIN YOUR QUALIFICATIONS (APTITUDE, KNOWLEDGE, SKILLS).

10.

DATE

SIGNATURE

Items 11 through 18 will be completed by Supervisor

11. BRIEFLY DESCRIBE THIS PERSON'S PERFORMANCE ON THE MAJOR DUTIES LISTED UNDER ITEM 7 ABOVE.

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12. IN WHAT RESPECT IS THIS PERSON'S PERFORMANCE ON PRESENT JOB MOST NOTICEABLY GOOD OR OUTSTANDING?	
13. ON WHAT ASPECT OF PERFORMANCE SHOULD THIS PERSON CONCENTRATE EFFORT FOR SELF IMPROVEMENT?	
14. COMMENT ON THIS PERSON'S ABILITY TO HANDLE GREATER RESPONSIBILITIES NOW OR IN THE FUTURE.	
15. ARE THERE OTHER DUTIES WHICH BETTER SUIT THIS PERSON'S QUALIFICATIONS? (Recommend appropriate reassignment, if possible.)	
16. WHAT TRAINING OR ROTATION DO YOU RECOMMEND FOR THIS PERSON?	
17. IF PERFORMANCE DURING REPORT PERIOD HAS BEEN UNSATISFACTORY, THERE IS ATTACHED COPY OF MEMORANDUM NOTIFYING THIS PERSON OF UNSATISFACTORY PERFORMANCE.	
18. THIS PERSONNEL EVALUATION REPORT HAS BEEN DISCUSSED WITH THE PERSON EVALUATED. ADDITIONAL COMMENTS INCLUDING COMMENT ON ITEMS 7, 8 AND 9, ARE SHOWN BELOW UNDER ITEM 20.	
DATE	SIGNATURE OF SUPERVISOR
19. I HAVE REVIEWED THE ABOVE REPORT. (Comments, if any, are shown in Item 20.)	
DATE	SIGNATURE OF REVIEWING OFFICIAL
20. COMMENTS: (If necessary, may be continued on reverse side of cover sheet.)	

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Appendix C

Fitness Report, September 1954

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CIA Regulation [REDACTED]

Form 37-189

Form 45a

Form 45

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**Next 3 Page(s) In Document Exempt**

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## FITNESS REPORT

The Fitness Report is an important factor in agency personnel management. It seeks to provide:

1. The agency selection board with information of value when considering the application of an individual for membership in the career service; and
2. A periodic record of job performance as an aid to the effective utilization of personnel.

### INSTRUCTIONS

**TO THE ADMINISTRATIVE OR PERSONNEL OFFICER:** Consult current administrative instructions regarding the initiation and transmittal of this report.

**TO THE SUPERVISOR:** Read the entire form before attempting to complete any item. As the supervisor who assigns, directs and reviews the work of the individual, you have primary responsibility for evaluating his strengths, weaknesses, and on-the-job effectiveness as revealed by his day-to-day activities. If this individual has been under your supervision for less than 30 days, you will collaborate with his previous supervisors to make sure the report is accurate and complete. Primary responsibility rests with the current supervisor. It is assumed that, throughout the period this individual has been under your supervision, you have discharged your supervisory responsibilities by frequent discussions of his work, so that in a general way he knows where he stands.

IT IS OPTIONAL WHETHER OR NOT THIS FITNESS REPORT IS SHOWN TO THE PERSON BEING RATED

### SECTION I (To be filled in by Administrative Officer)

1. NAME (Last)	(First)	(Middle)	2. DATE OF BIRTH	3. SEX	4. CAREER DESIGNATION
5. DATE OF ENTRANCE ON DUTY	6. OFFICE ASSIGNED TO	7. DIVISION		8. BRANCH	
9. NATURE OF ASSIGNMENT <input type="checkbox"/> DEPARTMENTAL <input type="checkbox"/> FIELD		10. IF FIELD, SPECIFY STATION:		11. GRADE	
12. DATE THAT THIS REPORT IS DUE		13. PERIOD COVERED BY THIS REPORT (Inclusive dates)			

### SECTION II (To be filled in by Supervisor)

1. CURRENT POSITION	2. DATE ASSUMED RESPONSIBILITY FOR POSITION
3. WHAT SPECIFIC ASSIGNMENTS OR TASKS ARE TYPICAL OF THOSE GIVEN TO HIM DURING THE PAST THREE TO SIX MONTHS (List in order of frequency):	
<div style="display: flex;"> <div style="width: 30%; border-right: 1px dashed black; padding-right: 5px;">           NAME: _____            TITLE: _____            ADDRESS: _____            CITY: _____            STATE: _____            ZIP: _____            PHONE: _____            HOME: _____            WORK: _____         </div> <div style="width: 70%; border: 1px dashed black; min-height: 150px;"> <!-- Grid for listing assignments --> </div> </div>	

READ THE ENTIRE FORM BEFORE ATTEMPTING TO COMPLETE ANY ITEM

### SECTION III

I certify that, during the latter half of the period covered by this report, I have discussed with the rated individual the manner in which he has performed his job and provided suggestions and criticisms wherever needed. I believe that his understanding of my evaluation of his performance is consistent with my evaluation of him as evidenced by this fitness report and I have informed him of his strengths, weaknesses, and on-the-job effectiveness. If performance during the report period has been unsatisfactory, there is attached a copy of the memorandum notifying him of unsatisfactory performance.

This report ☐ has ☐ has not been shown to the individual rated.

THIS DATE	SIGNATURE OF RATER (Employee's immediate supervisor)
I HAVE REVIEWED THIS REPORT (Comments, if any, are reflected by attached memorandum)	
THIS DATE	SIGNATURE OF REVIEWING OFFICIAL (Official next higher in line of authority)

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26. CAN THINK ON HIS FEET.
27. COMES UP WITH SOLUTIONS TO PROBLEMS.
28. STIMULATING TO ASSOCIATES; A "SPARK PLUG".
29. TOUGH MINDED.
30. OBSERVANT.
31. CAPABLE.
32. CLEAR THINKING.
33. COMPLETES ASSIGNMENTS WITHIN ALLOWABLE TIME LIMITS.
34. EVALUATES SELF REALISTICALLY.
35. WELL INFORMED ABOUT CURRENT EVENTS.
36. DELIBERATE.
37. EFFECTIVE IN DISCUSSIONS WITH ASSOCIATES.
38. IMPLEMENTS DECISIONS REGARDLESS OF OWN FEELINGS.
39. THOUGHTFUL OF OTHERS.
40. WORKS WELL UNDER PRESSURE.
41. DISPLAYS JUDGEMENT.
42. GIVES CREDIT WHERE CREDIT IS DUE.
43. HAS DRIVE.
44. IS SECURITY CONSCIOUS.
45. VERSATILE.
46. HIS CRITICISM IS CONSTRUCTIVE.
47. ABLE TO INFLUENCE OTHERS.
48. FACILITATES SMOOTH OPERATION OF HIS OFFICE.
49. DOES NOT REQUIRE STRONG AND CONTINUOUS SUPERVISION.
50. A GOOD SUPERVISOR.

## SECTION V

## A. WHAT ARE HIS OUTSTANDING STRENGTHS?

## B. WHAT ARE HIS OUTSTANDING WEAKNESSES?

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SECTION IV

This section is provided as an aid in describing the individual. Your description is not favorable or unfavorable in itself but requires its meaning in relation to a particular job or assignment. The descriptive words are to be interpreted literally.

On the left hand side of the page below are a series of statements that apply in some degree to most people. On the right hand side of the page are four major categories of descriptions. The scale within each category is divided into three small blocks; this is to allow you to make finer distinctions if you so desire. Look at the statement on the left - then check the category on the right which best tells how much the statement applies to the person you are rating. Placing an "X" in the "Not Observed" column means you have no opinion on whether a phrase applies to an individual. Placing an "X" in the "Does Not Apply" column means that you have the definite opinion that the description is not at all suited to the individual.

## STATEMENTS

## CATEGORIES

STATEMENTS	SAMPLES	NOT OB- SERVED	DOES NOT APPLY	APPLIES TO A LIMITED DEGREE	APPLIES TO A REASONABLE DEGREE	APPLIES TO AN ABOVE AVERAGE DEGREE	APPLIES TO AN OUTSTANDING DEGREE
A. ABLE TO SEE ANOTHER'S POINT OF VIEW.				X			
B. PRACTICAL.						X	
1. A GOOD REPORTER OF EVENTS.							
2. CAN MADE DECISIONS ON HIS OWN WHEN NEED ARISES.							
3. CAUTIOUS IN ACTION.							
4. HAS INITIATIVE.							
5. UNEMOTIONAL.							
6. ANALYTIC IN HIS THINKING.							
7. CONSTANTLY STRIVING FOR NEW- KNOWLEDGE AND IDEAS.							
8. GETS ALONG WITH PEOPLE AT ALL SOCIAL LEVELS.							
9. HAS SENSE OF HUMOR.							
10. KNOWS WHEN TO SEEK ASSISTANCE.							
11. CALM.							
12. CAN GET ALONG WITH PEOPLE.							
13. MEMORY FOR FACTS.							
14. GETS THINGS DONE.							
15. KEEPS ORIENTED TOWARD LONG TERM GOALS.							
16. CAN COPE WITH EMERGENCIES.							
17. HAS HIGH STANDARDS OF ACCOMPLISHMENT.							
18. HAS STAMINA; CAN KEEP GOING A LONG TIME.							
19. HAS WIDE RANGE OF INFORMATION.							
20. SHOWS ORIGINALITY.							
21. ACCEPTS RESPONSIBILITIES.							
22. ADMITS HIS ERRORS.							
23. RESPONDS WELL TO SUPERVISION.							
24. EVEN DISPOSITION.							
25. ABLE TO DO HIS JOB WITHOUT STRONG SUPPORT.							

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D. DO YOU FEEL THAT HE REQUIRES CLOSE SUPERVISION? ☐ NO ☐ YES. IF YES, WHY?

E. WHAT TRAINING DO YOU RECOMMEND FOR THIS INDIVIDUAL?

F. OTHER COMMENTS (Indicate here general traits, specific habits or characteristics not covered elsewhere in the report but which have a bearing on effective utilization of this person):

SECTION VI

Read all descriptions before rating. Place "X" in the most appropriate box under subsections A,B,C,&D

A. DIRECTIONS: Consider only the skill with which the person has performed the duties of his job and rate him accordingly.

- ☐ 1. DOES NOT PERFORM DUTIES ADEQUATELY. HE IS INCOMPETENT.
- ☐ 2. BARELY ADEQUATE IN PERFORMANCE. ALTHOUGH HE HAS HAD SPECIFIC GUIDANCE OR TRAINING, HE OFTEN FAILS TO CARRY OUT RESPONSIBILITIES COMPETENTLY.
- ☐ 3. PERFORMS MOST OF HIS DUTIES ACCEPTABLY. OCCASIONALLY REVEALS SOME AREA OF WEAKNESS.
- ☐ 4. PERFORMS DUTIES IN A TYPICALLY COMPETENT, EFFECTIVE MANNER.
- ☐ 5. A FINE PERFORMANCE. CARRIES OUT MANY OF HIS RESPONSIBILITIES EXCEPTIONALLY WELL.
- ☐ 6. PERFORMS HIS DUTIES IN SUCH AN OUTSTANDING MANNER THAT HE IS EQUALLED BY FEW OTHER PERSONS KNOWN TO THE RATER.

IS THIS INDIVIDUAL BETTER QUALIFIED FOR WORK IN SOME OTHER AREA? ☐ NO ☐ YES. IF YES, WHAT?

C. DIRECTIONS: Based upon what he has said, his actions, and any other indications, give your opinion of this person's attitude toward the agency.

- ☐ 1. HAS AN ANTAGONISTIC ATTITUDE TOWARD THE AGENCY... WILL DEFINITELY LEAVE THE AGENCY AT THE FIRST OPPORTUNITY.
- ☐ 2. HAS STRONG NEGATIVE ATTITUDE TOWARD AGENCY... IRKED BY RESTRICTIONS... REGARDS AGENCY AS A TEMPORARY STOP UNTIL HE CAN GET SOMETHING BETTER.
- ☐ 3. TENDS TO HAVE AN UNFAVORABLE ATTITUDE TOWARD THE AGENCY... BOTHERED BY MINOR FRUSTRATIONS... WILL QUIT IF THESE CONTINUE.
- ☐ 4. HIS ATTITUDE TOWARD THE AGENCY IS INDIFFERENT... HAS "WAIT AND SEE" ATTITUDE... WOULD LEAVE IF SOMEONE OFFERED HIM SOMETHING BETTER.
- ☐ 5. TENDS TO HAVE FAVORABLE ATTITUDE TOWARD AGENCY... MAKES ALLOWANCES FOR RESTRICTIONS IMPOSED BY WORKING FOR AGENCY... THINKS IN TERMS OF A CAREER IN THE AGENCY.
- ☐ 6. DEFINITELY HAS FAVORABLE ATTITUDE TOWARD THE AGENCY... BARRING AN UNEXPECTED OUTSIDE OPPORTUNITY, WILL PROBABLY ENDEAVOR TO MAKE A CAREER IN THE AGENCY.
- ☐ 7. HAS AN ENTHUSIASTIC ATTITUDE TOWARD THE AGENCY... WILL PROBABLY NEVER CONSIDER WORKING ANY PLACE BUT IN THE AGENCY.

B. DIRECTIONS: Considering others of this person's grade and type of assignment, how would you rate him on potentiality for assumption of greater responsibilities normally indicated by promotion.

- ☐ 1. HAS REACHED THE HIGHEST GRADE LEVEL AT WHICH SATISFACTORY PERFORMANCE CAN BE EXPECTED.
- ☐ 2. IS MAKING PROGRESS, BUT NEEDS MORE TIME IN PRESENT GRADE BEFORE PROMOTION TO A HIGHER GRADE CAN BE RECOMMENDED.
- ☐ 3. IS READY TO TAKE ON RESPONSIBILITIES OF THE NEXT HIGHER GRADE, BUT MAY NEED TRAINING IN SOME AREAS.
- ☐ 4. WILL PROBABLY ADJUST QUICKLY TO THE MORE RESPONSIBLE DUTIES OF THE NEXT HIGHER GRADE.
- ☐ 5. IS ALREADY PERFORMING AT THE LEVEL OF THE NEXT HIGHER GRADE.
- ☐ 6. AN EXCEPTIONAL PERSON WHO IS ONE OF THE FEW WHO SHOULD BE CONSIDERED FOR RAPID ADVANCEMENT.

D. DIRECTIONS: Consider everything you know about this person in making your rating... skill in job duties, conduct on the job, personal characteristics or habits, and special defects or talents.

- ☐ 1. DEFINITELY UNSUITABLE - HE SHOULD BE SEPARATED.
- ☐ 2. OF DOUBTFUL SUITABILITY... WOULD NOT HAVE ACCEPTED HIM IF I HAD KNOWN WHAT I KNOW NOW.
- ☐ 3. A BARELY ACCEPTABLE EMPLOYEE... DEFINITELY BELOW AVERAGE BUT WITH NO WEAKNESSES SUFFICIENTLY OUTSTANDING TO WARRANT HIS SEPARATION.
- ☐ 4. A TYPICAL EMPLOYEE... HE DISPLAYS THE SAME SUITABILITY AS MOST OF THE PEOPLE I KNOW IN THE AGENCY.
- ☐ 5. A FINE EMPLOYEE - HAS SOME OUTSTANDING STRENGTHS.
- ☐ 6. AN UNUSUALLY STRONG PERSON IN TERMS OF THE REQUIREMENTS OF THE AGENCY.
- ☐ 7. EXCELLED BY ONLY A FEW IN SUITABILITY FOR WORK IN THE AGENCY.

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**SECRET**  
(When Filled In)

## FIELD FITNESS REPORT TRANSMITTAL

### SECTION A

1. NAME OF EMPLOYEE (In pseudonym) LAST-FIRST-MIDDLE

*I certify that, during the latter half of the period covered by this report, I have discussed with the rated individual the manner in which he has performed his job and provided suggestions and criticisms wherever needed. I believe that his understanding of my evaluation of his performance is consistent with my evaluation of him as evidenced by this fitness report and I have informed him of his strengths, weaknesses, and on-the-job effectiveness. If performance during the report period has been unsatisfactory, there is attached a copy of the memorandum notifying him of unsatisfactory performance.*

This report ☐ has ☐ has not been shown to the individual rated.

2. THIS DATE

3. SIGNATURE OF RATER IN PSEUDONYM (Employee's immediate supervisor)

I HAVE REVIEWED THIS REPORT (Comments, if any, are reflected by attached memorandum)

4. THIS DATE

5. SIGNATURE OF REVIEWING OFFICIAL IN PSEUDO (Official next higher in line authority)

### SPECIAL NOTE

*This form must be prepared with due regard for security considerations. For example, in the case of administrative and support personnel and others whose duties do not in themselves reveal sources of information and methods of operation, it is normally expected that a complete and realistic statement of major duties may be reported in Item 3 of Section II. However, the nature, source, purpose or disposition of information or operations will not be included. On the other hand, the description of specific assignments or tasks of certain other employees may jeopardize security and should not be fully reported on this form. In these cases, a broad general statement of specific assignments or tasks will be included in Item 3 of Section II indicating the level of responsibility.*

FORM NO. 45a  
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## FIELD FITNESS REPORT

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- The Fitness Report is an important factor in organization personnel management. It seeks to provide:
1. The organization selection board with information of value when considering the application of an individual for membership in the career staff; and
  2. A periodic record of job performance as an aid to the effective utilization of personnel.

## INSTRUCTIONS

**TO THE FIELD ADMINISTRATIVE OR PERSONNEL OFFICER:** Consult current field administrative instructions regarding the initiation and transmittal of this report to headquarters.

**TO THE FIELD SUPERVISOR:** Read the entire form before attempting to complete any item. As the supervisor who assigns, directs and reviews the work of the individual, you have primary responsibility for evaluating his strengths, weaknesses, and on-the-job effectiveness as

revealed by his day-to-day activities. If this individual has been under your supervision for less than 30 days, you will collaborate, if practicable, with his previous supervisors to make sure the report is accurate and complete. Primary responsibility rests with the current supervisor. It is assumed that, throughout the period this individual has been under your supervision, you have discharged your supervisory responsibilities by frequent discussions of his work, so that in a general way he knows where he stands.

IT IS OPTIONAL WHETHER OR NOT THIS FITNESS REPORT IS SHOWN TO THE PERSON BEING RATED

## SECTION I

LEAVE BLANK - FOR HEADQUARTERS USE ONLY

1. DATE OF BIRTH

2. SEX

3. SERVICE DESIGNATION

4. GRADE

5. STATION DESIGNATION (Current)

6. DUE DATE OF THIS REPORT

7. PERIOD COVERED BY THIS REPORT (Inclusive dates)

## SECTION II (To be completed by field supervisor)

CURRENT POSITION

2. DATE ASSUMED RESPONSIBILITY FOR POSITION

STATE THE SPECIFIC ASSIGNMENTS OR TASKS WHICH ARE TYPICAL OF THOSE GIVEN TO THE EMPLOYEE DURING THE PAST THREE TO SIX MONTHS (List in order of frequency)

## SECTION III (To be completed at headquarters only)

DO NOT COMPLETE - - FOR HEADQUARTERS USE ONLY.

## AUTHENTICATION OF REPORT AND SIGNATURES

1. NAME OF RATER (True)

2. NAME OF REVIEWING OFFICIAL IN FIELD (True)

3. THIS REPORT ☐ WAS ☐ WAS NOT SHOWN TO THE INDIVIDUAL BEING RATED.

4. DATE REPORT AUTHENTICATED AT HQS.

5. NAME AND SIGNATURE OF ADMINISTRATIVE OR PERSONNEL OFFICER AT HEADQUARTERS AUTHORIZED TO AUTHENTICATE FITNESS REPORT AND SIGNATURES

Approved For Release 2000/06/01 : CIA-RDP90-00708R000200100001-6

INDICATE IF YOU THINK THAT ANY SINGLE STRENGTH OR WEAKNESS OUTWEIGHS ALL OTHER CONSIDERATIONS:

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DO YOU FEEL THAT HE REQUIRES CLOSE SUPERVISION? ☐ NO ☐ YES. IF YES, WHY?

WHAT TRAINING DO YOU RECOMMEND FOR THIS INDIVIDUAL?

F. OTHER COMMENTS (Indicate here general traits, specific habits or characteristics not covered elsewhere in the report but which have a bearing on effective utilization of this person):

### SECTION VI

Read all descriptions before rating. Place "X" in the most appropriate box under subsections A,B,C,&D

DIRECTIONS: Consider only the skill with which the person has performed the duties of his job and rate him accordingly.

- ☐ 1. DOES NOT PERFORM DUTIES ADEQUATELY; HE IS INCOMPETENT.
- ☐ 2. BARELY ADEQUATE IN PERFORMANCE; ALTHOUGH HE HAS HAD SPECIFIC GUIDANCE OR TRAINING, HE OFTEN FAILS TO CARRY OUT RESPONSIBILITIES COMPETENTLY.
- ☐ 3. PERFORMS MOST OF HIS DUTIES ACCEPTABLY; OCCASIONALLY REVEALS SOME AREA OF WEAKNESS.
- ☐ 4. PERFORMS DUTIES IN A TYPICALLY COMPETENT, EFFECTIVE MANNER.
- ☐ 5. A FINE PERFORMANCE; CARRIES OUT MANY OF HIS RESPONSIBILITIES EXCEPTIONALLY WELL.
- ☐ 6. PERFORMS HIS DUTIES IN SUCH AN OUTSTANDING MANNER THAT HE IS EQUALLED BY FEW OTHER PERSONS KNOWN TO THE RATER.

IS THIS INDIVIDUAL BETTER QUALIFIED FOR WORK IN SOME OTHER AREA? ☐ NO ☐ YES. IF YES, WHAT?

C. DIRECTIONS: Based upon what he has said, his actions, and any other indications, give your opinion of this person's attitude toward the organization.

- ☐ 1. HAS AN ANTAGONISTIC ATTITUDE TOWARD THE AGENCY...WILL DEFINITELY LEAVE THE ORGANIZATION AT THE FIRST OPPORTUNITY.
- ☐ 2. HAS STRONG NEGATIVE ATTITUDE TOWARD ORGANIZATION...IRKED BY RESTRICTIONS...REGARDS AGENCY AS A TEMPORARY STOP UNTIL HE CAN GET SOMETHING BETTER.
- ☐ 3. TENDS TO HAVE AN UNFAVORABLE ATTITUDE TOWARD THE ORGANIZATION...BOTHERED BY MINOR FRUSTRATIONS...WILL QUIT IF THESE CONTINUE.
- ☐ 4. HIS ATTITUDE TOWARD THE ORGANIZATION IS INDIFFERENT...HAS "WAIT AND SEE" ATTITUDE...WOULD LEAVE IF SOMEONE OFFERED HIM SOMETHING BETTER.
- ☐ 5. TENDS TO HAVE FAVORABLE ATTITUDE TOWARD ORGANIZATION...MAKES ALLOWANCES FOR RESTRICTIONS IMPOSED BY WORKING FOR ORGANIZATION...THINKS IN TERMS OF A CAREER IN THE ORGANIZATION.
- ☐ 6. DEFINITELY HAS FAVORABLE ATTITUDE TOWARD THE ORGANIZATION...BARRING AN UNEXPECTED OUTSIDE OPPORTUNITY, WILL PROBABLY ENDEAVOR TO MAKE A CAREER IN THE ORGANIZATION.
- ☐ 7. HAS AN ENTHUSIASTIC ATTITUDE TOWARD THE ORGANIZATION...WILL PROBABLY NEVER CONSIDER WORKING ANY PLACE BUT IN THE ORGANIZATION.

B. DIRECTIONS: Considering others of this person's grade and type of assignment, how would you rate him on potentiality for assumption of greater responsibilities normally indicated by promotion.

- ☐ 1. HAS REACHED THE HIGHEST GRADE LEVEL AT WHICH SATISFACTORY PERFORMANCE CAN BE EXPECTED.
- ☐ 2. IS MAKING PROGRESS, BUT NEEDS MORE TIME IN PRESENT GRADE BEFORE PROMOTION TO A HIGHER GRADE CAN BE RECOMMENDED.
- ☐ 3. IS READY TO TAKE ON RESPONSIBILITIES OF THE NEXT HIGHER GRADE, BUT MAY NEED TRAINING IN SOME AREAS.
- ☐ 4. WILL PROBABLY ADJUST QUICKLY TO THE MORE RESPONSIBLE DUTIES OF THE NEXT HIGHER GRADE.
- ☐ 5. IS ALREADY PERFORMING AT THE LEVEL OF THE NEXT HIGHER GRADE.
- ☐ 6. AN EXCEPTIONAL PERSON WHO IS ONE OF THE FEW WHO SHOULD BE CONSIDERED FOR RAPID ADVANCEMENT.

D. DIRECTIONS: Consider everything you know about this person in making your rating...skill in job duties, conduct on the job, personal characteristics or habits, and special defects or talents.

- ☐ 1. DEFINITELY UNSUITABLE - HE SHOULD BE SEPARATED.
- ☐ 2. OF DOUBTFUL SUITABILITY...WOULD NOT HAVE ACCEPTED HIM IF I HAD KNOWN WHAT I KNOW NOW.
- ☐ 3. A BARELY ACCEPTABLE EMPLOYEE...DEFINITELY BELOW AVERAGE BUT WITH NO WEAKNESSES SUFFICIENTLY OUTSTANDING TO WARRANT HIS SEPARATION.
- ☐ 4. A TYPICAL EMPLOYEE...HE DISPLAYS THE SAME SUITABILITY AS MOST OF THE PEOPLE I KNOW IN THE ORGANIZATION.
- ☐ 5. A FINE EMPLOYEE - HAS SOME OUTSTANDING STRENGTHS.
- ☐ 6. AN UNUSUALLY STRONG PERSON IN TERMS OF THE REQUIREMENTS OF THE ORGANIZATION.
- ☐ 7. EXCELLED BY ONLY A FEW IN SUITABILITY FOR WORK IN THE ORGANIZATION.

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- [illegible]

**A. WHAT ARE HIS OUTSTANDING STRENGTHS?**

**B. WHAT ARE HIS OUTSTANDING WEAKNESSES?**

On the left hand side of the page below are a series of statements that apply in some degree to most people. On the right hand side of the page are four major categories of descriptions. The scale within each category is divided into three small blocks; this is to allow you to make finer distinctions if you so desire. Look at the statement on the left - then check the category on the right which best tells how much the statement applies to the person you are rating. Placing an "X" in the "Not Observed" column means you have no opinion on whether a phrase applies to an individual. Placing an "X" in the "Does Not Apply" column means that you have the definite opinion that the description is not at all suited to the individual.

STATEMENTS		CATEGORIES															
SAMPLES		NOT OB- SERVED	DOES NOT APPLY	APPLIES TO A LIMITED DEGREE	APPLIES TO A REASONABLE DEGREE	APPLIES TO AN ABOVE AVERAGE DEGREE	APPLIES TO AN OUTSTANDING DEGREE										
		A. ABLE TO SEE ANOTHER'S POINT OF VIEW.				X											
B. PRACTICAL.																	
1. A GOOD REPORTER OF EVENTS.																	
2. CAN MADE DECISIONS ON HIS OWN WHEN NEED ARISES.																	
3. CAUTIOUS IN ACTION.																	
4. HAS INITIATIVE.																	
5. UNEMOTIONAL.																	
6. ANALYTIC IN HIS THINKING.																	
7. CONSTANTLY STRIVING FOR NEW KNOWLEDGE AND IDEAS.																	
8. GETS ALONG WITH PEOPLE AT ALL SOCIAL LEVELS.																	
9. HAS SENSE OF HUMOR.																	
10. KNOWS WHEN TO SEEK ASSISTANCE.																	
11. CALM.																	
12. CAN GET ALONG WITH PEOPLE.																	
13. MEMORY FOR FACTS.																	
14. GETS THINGS DONE.																	
15. KEEPS ORIENTED TOWARD LONG TERM GOALS.																	
16. CAN COPE WITH EMERGENCIES.																	
17. HAS HIGH STANDARDS OF ACCOMPLISHMENT.																	
18. HAS STAMINA; CAN KEEP GOING A LONG TIME.																	
19. HAS WIDE RANGE OF INFORMATION.																	
20. SHOWS ORIGINALITY.																	
21. ACCEPTS RESPONSIBILITIES.																	
22. ADMITS HIS ERRORS.																	
RESPONDS WELL TO SUPERVISION.																	
24. EVEN DISPOSITION.																	
25. ABLE TO DO HIS JOB WITHOUT STRONG SUPPORT.																	

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**SECRET**  
(When Filled In)

## FIELD FITNESS REPORT TRANSMITTAL

### SECTION A

1. NAME OF EMPLOYEE (In pseudonym) LAST-FIRST-MIDDLE

I certify that, during the latter half of the period covered by this report, I have discussed with the rated individual the manner in which he has performed his job and provided suggestions and criticisms wherever needed. I believe that his understanding of my evaluation of his performance is consistent with my evaluation of him as evidenced by this fitness report and I have informed him of his strengths, weaknesses, and on-the-job effectiveness. If performance during the report period has been unsatisfactory, there is attached a copy of the memorandum notifying him of unsatisfactory performance.

This report ☐ has ☐ has not been shown to the individual rated.

2. THIS DATE

3. SIGNATURE OF RATER IN PSEUDONYM (Employee's immediate supervisor)

I HAVE REVIEWED THIS REPORT (Comments, if any, are reflected by attached memorandum)

4. THIS DATE

5. SIGNATURE OF REVIEWING OFFICIAL IN PSEUDO (Official next higher in line authority)

### SPECIAL NOTE

This form must be prepared with due regard for security considerations. For example, in the case of administrative and support personnel and others whose duties do not in themselves reveal sources of information and methods of operation, it is normally expected that a complete and realistic statement of major duties may be reported in Item 3 of Section II. However, the nature, source, purpose or disposition of information or operations will not be included. On the other hand, the description of specific assignments or tasks of certain other employees may jeopardize security and should not be fully reported on this form. In these cases, a broad general statement of specific assignments or tasks will be included in Item 3 of Section II indicating the level of responsibility.

FORM NO. 45a  
SEP 54

**SECRET**

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The Fitness Report is an important factor in organization personnel management. It seeks to provide:  
1. The organization selection board with information of value when considering the application of an individual for membership in the career staff; and  
2. A periodic record of job performance as an aid to the effective utilization of personnel.

### INSTRUCTIONS

**TO THE FIELD ADMINISTRATIVE OR PERSONNEL OFFICER:** Consult current field administrative instructions regarding the initiation and transmittal of this report to headquarters.

**TO THE FIELD SUPERVISOR:** Read the entire form before attempting to complete any item. As the supervisor who assigns, directs and reviews the work of the individual, you have primary responsibility for evaluating his strengths, weaknesses, and on-the-job effectiveness as

revealed by his day-to-day activities. If this individual has been under your supervision for less than 30 days, you will collaborate, if practicable, with his previous supervisors to make sure the report is accurate and complete. Primary responsibility rests with the current supervisor. It is assumed that, throughout the period this individual has been under your supervision, you have discharged your supervisory responsibilities by frequent discussions of his work, so that in a general way he knows where he stands.

IT IS OPTIONAL WHETHER OR NOT THIS FITNESS REPORT IS SHOWN TO THE PERSON BEING RATED

### SECTION I

LEAVE BLANK - FOR HEADQUARTERS USE ONLY

1. DATE OF BIRTH

2. SEX

3. SERVICE DESIGNATION

4. GRADE

5. STATION DESIGNATION (Current)

6. DUE DATE OF THIS REPORT

7. PERIOD COVERED BY THIS REPORT (Inclusive dates)

### SECTION II (To be completed by field supervisor)

1. CURRENT POSITION

2. DATE ASSUMED RESPONSIBILITY FOR POSITION

3. STATE THE SPECIFIC ASSIGNMENTS OR TASKS WHICH ARE TYPICAL OF THOSE GIVEN TO THE EMPLOYEE DURING THE PAST THREE TO SIX MONTHS (List in order of frequency)

### SECTION III (To be completed at headquarters only)

DO NOT COMPLETE - FOR HEADQUARTERS USE ONLY

#### AUTHENTICATION OF REPORT AND SIGNATURES

1. NAME OF RATER (True)

2. NAME OF REVIEWING OFFICIAL IN FIELD (True)

THIS REPORT ☐ WAS ☐ WAS NOT SHOWN TO THE INDIVIDUAL BEING RATED.

4. DATE REPORT AUTHENTICATED AT HQS.

5. NAME AND SIGNATURE OF ADMINISTRATIVE OR PERSONNEL OFFICER AT HEADQUARTERS AUTHORIZED TO AUTHENTICATE FITNESS REPORT AND SIGNATURES

Approved For Release 2000/06/01 : CIA-RDP90-00708R000200100001-6  
DO NOT COMPLETE - FOR HEADQUARTERS USE ONLY

C. INDICATE IF YOU THINK THAT ANY SINGLE STRENGTH OR WEAKNESS OUTWEIGHS ALL OTHER CONSIDERATIONS:  
**Approved For Release 2000/06/01 : CIA-RDP90-00708R000200100001-6**

D. DO YOU FEEL THAT HE REQUIRES CLOSE SUPERVISION? ☐ NO ☐ YES. IF YES, WHY?

E. WHAT TRAINING DO YOU RECOMMEND FOR THIS INDIVIDUAL?

F. OTHER COMMENTS (Indicate here general traits, specific habits or characteristics not covered elsewhere in the report but which have a bearing on effective utilization of this person):

### SECTION VI

*Read all descriptions before rating. Place "X" in the most appropriate box under subsections A,B,C,&D*

**A. DIRECTIONS:** Consider only the skill with which the person has performed the duties of his job and rate him accordingly.

- ☐ 1. DOES NOT PERFORM DUTIES ADEQUATELY; HE IS INCOMPETENT.
- ☐ 2. BARELY ADEQUATE IN PERFORMANCE; ALTHOUGH HE HAS HAD SPECIFIC GUIDANCE OR TRAINING, HE OFTEN FAILS TO CARRY OUT RESPONSIBILITIES COMPETENTLY.
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- ☐ 6. PERFORMS HIS DUTIES IN SUCH AN OUTSTANDING MANNER THAT HE IS EQUALLED BY FEW OTHER PERSONS KNOWN TO THE RATER.

IS THIS INDIVIDUAL BETTER QUALIFIED FOR WORK IN SOME OTHER AREA? ☐ NO ☐ YES. IF YES, WHAT?

**C. DIRECTIONS:** Based upon what he has said, his actions, and any other indications, give your opinion of this person's attitude toward the organization.

- ☐ 1. HAS AN ANTAGONISTIC ATTITUDE TOWARD THE ORGANIZATION...WILL DEFINITELY LEAVE THE ORGANIZATION AT THE FIRST OPPORTUNITY.
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- ☐ 6. DEFINITELY HAS FAVORABLE ATTITUDE TOWARD THE ORGANIZATION...BARRING AN UNEXPECTED OUTSIDE OPPORTUNITY, WILL PROBABLY ENDEAVOR TO MAKE A CAREER IN THE ORGANIZATION.
- ☐ 7. HAS AN ENTHUSIASTIC ATTITUDE TOWARD THE ORGANIZATION...WILL PROBABLY NEVER CONSIDER WORKING ANY PLACE BUT IN THE ORGANIZATION.

**B. DIRECTIONS:** Considering others of this person's grade and type of assignment, how would you rate him on potentiality for assumption of greater responsibilities normally indicated by promotion.

- ☐ 1. HAS REACHED THE HIGHEST GRADE LEVEL AT WHICH SATISFACTORY PERFORMANCE CAN BE EXPECTED.
- ☐ 2. IS MAKING PROGRESS; BUT NEEDS MORE TIME IN PRESENT GRADE BEFORE PROMOTION TO A HIGHER GRADE CAN BE RECOMMENDED.
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- ☐ 5. IS ALREADY PERFORMING AT THE LEVEL OF THE NEXT HIGHER GRADE.
- ☐ 6. AN EXCEPTIONAL PERSON WHO IS ONE OF THE FEW WHO SHOULD BE CONSIDERED FOR RAPID ADVANCEMENT.

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- ☐ 3. A BARELY ACCEPTABLE EMPLOYEE...DEFINITELY BELOW AVERAGE BUT WITH NO WEAKNESSES SUFFICIENTLY OUTSTANDING TO WARRANT HIS SEPARATION.
- ☐ 4. A TYPICAL EMPLOYEE...HE DISPLAYS THE SAME SUITABILITY AS MOST OF THE PEOPLE I KNOW IN THE ORGANIZATION.
- ☐ 5. A FINE EMPLOYEE - HAS SOME OUTSTANDING STRENGTHS.
- ☐ 6. AN UNUSUALLY STRONG PERSON IN TERMS OF THE REQUIREMENTS OF THE ORGANIZATION.
- ☐ 7. EXCELLED BY ONLY A FEW IN SUITABILITY FOR WORK IN THE ORGANIZATION.

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## SECTION IV

This section is for use in the evaluation of individuals who are not in a position to give an unfavorable opinion of themselves but acquire its meaning in relation to a particular job or assignment. The descriptive words are to be interpreted literally.

On the left hand side of the page below are a series of statements that apply in some degree to most people. On the right hand side of the page are four major categories of descriptions. The scale within each category is divided into three small blocks; this is to allow you to make finer distinctions if you so desire. Look at the statement on the left - then check the category on the right which best tells how much the statement applies to the person you are rating. Placing an "X" in the "Not Observed" column means you have no opinion on whether a phrase applies to an individual. Placing an "X" in the "Does Not Apply" column means that you have the definite opinion that the description is not at all suited to the individual.

## STATEMENTS

## CATEGORIES

STATEMENTS	SAMPLES	NOT OB- SERVED	DOES NOT APPLY	APPLIES TO A LIMITED DEGREE	APPLIES TO A REASONABLE DEGREE	APPLIES TO AN ABOVE AVERAGE DEGREE	APPLIES TO AN OUTSTANDING DEGREE
A. ABLE TO SEE ANOTHER'S POINT OF VIEW.				X			
B. PRACTICAL.						X	
1. A GOOD REPORTER OF EVENTS.							
2. CAN MAKE DECISIONS ON HIS OWN WHEN NEED ARISES.							
3. CAUTIOUS IN ACTION.							
4. HAS INITIATIVE.							
5. UNEMOTIONAL.							
6. ANALYTIC IN HIS THINKING.							
7. CONSTANTLY STRIVING FOR NEW KNOWLEDGE AND IDEAS.							
8. GETS ALONG WITH PEOPLE AT ALL SOCIAL LEVELS.							
9. HAS SENSE OF HUMOR.							
10. KNOWS WHEN TO SEEK ASSISTANCE.							
11. CALM.							
12. CAN GET ALONG WITH PEOPLE.							
13. MEMORY FOR FACTS.							
14. GETS THINGS DONE.							
15. KEEPS ORIENTED TOWARD LONG TERM GOALS.							
16. CAN COPE WITH EMERGENCIES.							
17. HAS HIGH STANDARDS OF ACCOMPLISHMENT.							
18. HAS STAMINA; CAN KEEP GOING A LONG TIME.							
19. HAS WIDE RANGE OF INFORMATION.							
20. SHOWS ORIGINALITY.							
21. ACCEPTS RESPONSIBILITIES.							
22. ADMITS HIS ERRORS.							
RESPONDS WELL TO SUPERVISION.							
24. EVEN DISPOSITION.							
25. ABLE TO GET AND HOLD STRONG SUPPORT.							

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- [illegible]

**A. WHAT ARE HIS OUTSTANDING STRENGTHS?**

**B. WHAT ARE HIS OUTSTANDING WEAKNESSES?**

SECRET

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## FITNESS REPORT

The Fitness Report is an important factor in agency personnel management. It seeks to provide:

1. The agency selection board with information of value when considering the application of an individual for membership in the career service; and
2. A periodic record of job performance as an aid to the effective utilization of personnel.

## INSTRUCTIONS

**TO THE ADMINISTRATIVE OR PERSONNEL OFFICER:** Consult current administrative instructions regarding the initiation and transmittal of this report.

**TO THE SUPERVISOR:** Read the entire form before attempting to complete any item. As the supervisor who assigns, directs and reviews the work of the individual, you have primary responsibility for evaluating his strengths, weaknesses, and on-the-job effectiveness as revealed by his day-to-day activities. If this individual has been under your supervision for less than 30 days, you will collaborate with his previous supervisors to make sure the report is accurate and complete. Primary responsibility rests with the current supervisor. It is assumed that, throughout the period this individual has been under your supervision, you have discharged your supervisory responsibilities by frequent discussions of his work, so that in a general way he knows where he stands.

IT IS OPTIONAL WHETHER OR NOT THIS FITNESS REPORT IS SHOWN TO THE PERSON BEING RATED

## SECTION I (To be filled in by Administrative Officer)

1. NAME (Last) (First) (Middle)	2. DATE OF BIRTH	3. SEX	4. CAREER DESIGNATION
5. DATE OF ENTRANCE ON DUTY	6. OFFICE ASSIGNED TO	7. DIVISION	8. BRANCH
9. NATURE OF ASSIGNMENT <input type="checkbox"/> DEPARTMENTAL <input type="checkbox"/> FIELD	10. IF FIELD, SPECIFY STATION:		11. GRADE
12. DATE THAT THIS REPORT IS DUE	13. PERIOD COVERED BY THIS REPORT (Inclusive dates)		

## SECTION II (To be filled in by Supervisor)

1. CURRENT POSITION	2. DATE ASSUMED RESPONSIBILITY FOR POSITION
3. WHAT SPECIFIC ASSIGNMENTS OR TASKS ARE TYPICAL OF THOSE GIVEN TO HIM DURING THE PAST THREE TO SIX MONTHS (List in order of frequency)	
<div style="border: 1px solid black; height: 150px; width: 100%;"></div>	

READ THE ENTIRE FORM BEFORE ATTEMPTING TO COMPLETE ANY ITEM

## SECTION III

I certify that, during the latter half of the period covered by this report, I have discussed with the rated individual the manner in which he has performed his job and provided suggestions and criticisms wherever needed. I believe that his understanding of my evaluation of his performance is consistent with my evaluation of him as evidenced by this fitness report and I have informed him of his strengths, weaknesses, and on-the-job effectiveness. If performance during the report period has been unsatisfactory, there is attached a copy of the memorandum notifying him of unsatisfactory performance.

This report ☐ has ☐ has not been shown to the individual rated.

THIS DATE	NAME AND SIGNATURE OF RATER (Employee's immediate supervisor)
I HAVE REVIEWED THIS REPORT (Comments, if any, are reflected by attached memorandum)	
THIS DATE	NAME AND SIGNATURE OF REVIEWING OFFICIAL (Official next higher in line of authority)

FORM NO. 105 REPLACES FORM 37-189, MAY 54  
1 OCT 54

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(When Filled In)

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This section is provided as an aid in describing the individual. Your description is not favorable or unfavorable in itself but acquires its meaning in relation to a particular job or assignment. The descriptive words are to be interpreted literally.

On the left hand side of the page below are a series of statements that apply in some degree to most people. On the right hand side of the page are four major categories of descriptions. The scale within each category is divided into three small blocks; this is to allow you to make finer distinctions if you so desire. Look at the statement on the left - then check the category on the right which best tells how much the statement applies to the person you are rating. Placing an "X" in the "Not Observed" column means you have no opinion on whether a phrase applies to an individual. Placing an "X" in the "Does Not Apply" column means that you have the definite opinion that the description is not at all suited to the individual.

STATEMENTS		CATEGORIES					
		NOT OB- SERVED	DOES NOT APPLY	APPLIES TO A LIMITED DEGREE	APPLIES TO A REASONABLE DEGREE	APPLIES TO AN ABOVE AVERAGE DEGREE	APPLIES TO AN OUTSTANDING DEGREE
A. ABLE TO SEE ANOTHER'S POINT OF VIEW.	SAMPLES			X			
B. PRACTICAL.						X	
1. A GOOD REPORTER OF EVENTS.							
2. CAN MAKE DECISIONS ON HIS OWN WHEN NEED ARISES.							
3. CAUTIOUS IN ACTION.							
4. HAS INITIATIVE.							
5. UNEMOTIONAL.							
6. ANALYTIC IN HIS THINKING.							
7. CONSTANTLY STRIVING FOR NEW KNOWLEDGE AND IDEAS.							
8. GETS ALONG WITH PEOPLE AT ALL SOCIAL LEVELS.							
9. HAS SENSE OF HUMOR.							
10. KNOWS WHEN TO SEEK ASSISTANCE.							
11. CALM.							
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21. ACCEPTS RESPONSIBILITIES.							
22. ADMITS HIS ERRORS.							
23. RESPONDS WELL TO SUPERVISION.							
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25. ABLE TO DO HIS JOB WITHOUT STRONG SUPPORT.							

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26. CAN THINK ON HIS FEET.
27. COMES UP WITH SOLUTIONS TO PROBLEMS.
28. STIMULATING TO ASSOCIATES! A "SPARK PLUG".
29. TOUGH MINDED.
30. OBSERVANT.
31. CAPABLE.
32. CLEAR THINKING.
33. COMPLETES ASSIGNMENTS WITHIN ALLOWABLE TIME LIMITS.
34. EVALUATES SELF REALISTICALLY.
35. WELL INFORMED ABOUT CURRENT EVENTS.
36. DELIBERATE.
37. EFFECTIVE IN DISCUSSIONS WITH ASSOCIATES.
38. IMPLEMENTS DECISIONS REGARDLESS OF OWN FEELINGS.
39. THOUGHTFUL OF OTHERS.
40. WORKS WELL UNDER PRESSURE.
41. DISPLAYS JUDGEMENT.
42. GIVES CREDIT WHERE CREDIT IS DUE.
43. HAS DRIVE.
44. IS SECURITY CONSCIOUS.
45. VERSATILE.
46. HIS CRITICISM IS CONSTRUCTIVE.
47. ABLE TO INFLUENCE OTHERS.
48. FACILITATES SMOOTH OPERATION OF HIS OFFICE.
49. DOES NOT REQUIRE STRONG AND CONTINUOUS SUPERVISION.
50. A GOOD SUPERVISOR.

## SECTION V

A. WHAT ARE HIS OUTSTANDING STRENGTHS?

B. WHAT ARE HIS OUTSTANDING WEAKNESSES?

SECRET

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D. DO YOU FEEL THAT HE REQUIRES CLOSE SUPERVISION? ☐ NO ☐ YES. IF YES, WHY?

E. WHAT TRAINING DO YOU RECOMMEND FOR THIS INDIVIDUAL?

F. OTHER COMMENTS (Indicate here general traits, specific habits or characteristics not covered elsewhere in the report but which have a bearing on effective utilization of this person):

## SECTION VI

Read all descriptions before rating. Place "X" in the most appropriate box under subsections A,B,C,&D

A. DIRECTIONS: Consider only the skill with which the person has performed the duties of his job and rate him accordingly.

- ☐ 1. DOES NOT PERFORM DUTIES ADEQUATELY; HE IS INCOMPETENT.
- ☐ 2. BARELY ADEQUATE IN PERFORMANCE; ALTHOUGH HE HAS HAD SPECIFIC GUIDANCE OR TRAINING, HE OFTEN FAILS TO CARRY OUT RESPONSIBILITIES COMPETENTLY.
- ☐ 3. PERFORMS MOST OF HIS DUTIES ACCEPTABLY; OCCASIONALLY REVEALS SOME AREA OF WEAKNESS.
- ☐ 4. PERFORMS DUTIES IN A TYPICALLY COMPETENT, EFFECTIVE MANNER.
- ☐ 5. A FINE PERFORMANCE; CARRIES OUT MANY OF HIS RESPONSIBILITIES EXCEPTIONALLY WELL.
- ☐ 6. PERFORMS HIS DUTIES IN SUCH AN OUTSTANDING MANNER THAT HE IS EQUALLED BY FEW OTHER PERSONS KNOWN TO THE RATER.

IS THIS INDIVIDUAL BETTER QUALIFIED FOR WORK IN SOME OTHER AREA? ☐ NO ☐ YES. IF YES, WHAT?

C. DIRECTIONS: Based upon what he has said, his actions, and any other indications, give your opinion of this person's attitude toward the agency.

- ☐ 1. HAS AN ANTAGONISTIC ATTITUDE TOWARD THE AGENCY ..WILL DEFINITELY LEAVE THE AGENCY AT THE FIRST OPPORTUNITY.
- ☐ 2. HAS STRONG NEGATIVE ATTITUDE TOWARD AGENCY... IRKED BY RESTRICTIONS...REGARDS AGENCY AS A TEMPORARY STOP UNTIL HE CAN GET SOMETHING BETTER.
- ☐ 3. TENDS TO HAVE AN UNFAVORABLE ATTITUDE TOWARD THE AGENCY...BOtherED BY MINOR FRUSTRATIONS.. WILL QUIT IF THESE CONTINUE.
- ☐ 4. HIS ATTITUDE TOWARD THE AGENCY IS INDIFFERENT ... HAS "WAIT AND SEE" ATTITUDE..WOULD LEAVE IF SOMEONE OFFERED HIM SOMETHING BETTER.
- ☐ 5. TENDS TO HAVE FAVORABLE ATTITUDE TOWARD AGENCY ..MAKES ALLOWANCES FOR RESTRICTIONS IMPOSED BY WORKING FOR AGENCY...THINKS IN TERMS OF A CAREER IN THE AGENCY.
- ☐ 6. DEFINITELY HAS FAVORABLE ATTITUDE TOWARD THE AGENCY...BARRING AN UNEXPECTED OUTSIDE OPPORTUNITY, WILL PROBABLY ENDEAVOR TO MAKE A CAREER IN THE AGENCY.
- ☐ 7. HAS AN ENTHUSIASTIC ATTITUDE TOWARD THE AGENCY ..WILL PROBABLY NEVER CONSIDER WORKING ANY PLACE BUT IN THE AGENCY.

B. DIRECTIONS: Considering others of this person's grade and type of assignment, how would you rate him on potentiality for assumption of greater responsibilities normally indicated by promotion.

- ☐ 1. HAS REACHED THE HIGHEST GRADE LEVEL AT WHICH SATISFACTORY PERFORMANCE CAN BE EXPECTED.
- ☐ 2. IS MAKING PROGRESS, BUT NEEDS MORE TIME IN PRESENT GRADE BEFORE PROMOTION TO A HIGHER GRADE CAN BE RECOMMENDED.
- ☐ 3. IS READY TO TAKE ON RESPONSIBILITIES OF THE NEXT HIGHER GRADE, BUT MAY NEED TRAINING IN SOME AREAS.
- ☐ 4. WILL PROBABLY ADJUST QUICKLY TO THE MORE RESPONSIBLE DUTIES OF THE NEXT HIGHER GRADE.
- ☐ 5. IS ALREADY PERFORMING AT THE LEVEL OF THE NEXT HIGHER GRADE.
- ☐ 6. AN EXCEPTIONAL PERSON WHO IS ONE OF THE FEW WHO SHOULD BE CONSIDERED FOR RAPID ADVANCEMENT.

D. DIRECTIONS: Consider everything you know about this person in making your rating...skill in job duties, conduct on the job, personal characteristics or habits, and special defects or talents.

- ☐ 1. DEFINITELY UNSUITABLE - HE SHOULD BE SEPARATED.
- ☐ 2. OF DOUBTFUL SUITABILITY...WOULD NOT HAVE ACCEPTED HIM IF I HAD KNOWN WHAT I KNOW NOW.
- ☐ 3. A BARELY ACCEPTABLE EMPLOYEE...DEFINITELY BELOW AVERAGE BUT WITH NO WEAKNESSES SUFFICIENTLY OUTSTANDING TO WARRANT HIS SEPARATION.
- ☐ 4. A TYPICAL EMPLOYEE...HE DISPLAYS THE SAME SUITABILITY AS MOST OF THE PEOPLE I KNOW IN THE AGENCY.
- ☐ 5. A FINE EMPLOYEE - HAS SOME OUTSTANDING STRENGTHS.
- ☐ 6. AN UNUSUALLY STRONG PERSON IN TERMS OF THE REQUIREMENTS OF THE AGENCY.
- ☐ 7. EXCELLED BY ONLY A FEW IN SUITABILITY FOR WORK IN THE AGENCY.



Appendix D

Guide for Completing Form No. 45: Fitness Report

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## GUIDE FOR COMPLETING FORM NO. 45: FITNESS REPORT

### PREFACE

This handbook is for the guidance of supervisors and administrative officials in completing Fitness Reports. General policy and procedural guidance is provided in R and [REDACTED] and on the Fitness Report forms.

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# GUIDE FOR COMPLETING FORM NO. 45: FITNESS REPORT

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## GUIDE FOR COMPLETING FORM NO. 45: FITNESS REPORT

### 1. WHAT IS A FITNESS REPORT?

- a. A Fitness Report is a form for recording the opinion of a supervisor about the work performance, suitability for employment, and potential of a subordinate. The report is only one element in the general evaluations which are constantly being made of employees. Reports which are prepared carefully will be extremely valuable for consideration in connection with the development of career plans and the review of personnel actions. On the other hand, reports which do not fairly reflect the individual's performance and potential may lead to personnel actions which are detrimental to the individual, the supervisor, and to the Organization.
- b. Fitness Reports will be of primary interest to two groups. Employees, being rated or evaluated, are rightfully interested because of their natural desire to know where they stand with their supervisor(s). It is the firm policy of this Organization to support this right of the individual. It is clear that management requires information on personnel performance and potential. The report is designed so that both of these interests are met through differentiating between the evaluation of job performance—the subject of particular concern to the employee and his immediate supervisor, and the evaluation of potential—the subject of particular interest to secondary levels of supervision and to career service elements. Opinions, and therefore reports, concerning an individual's performance or potential can and will differ legitimately. All that is required is that each supervisor give his honest opinion after carefully observing his subordinate in action. Over a period of time the series of reports prepared by several different supervisors will provide a progressively more accurate evaluation of the individual concerned.

### 2. BACKGROUND OF THE NEW FITNESS REPORT

The initial evaluation system in the Organization was the Personnel Evaluation Report (PER) introduced in 1952. It was superseded by the first Fitness Report, introduced on an experimental basis in November 1954, which was designed to provide a report more suitable for selection purposes. With the introduction of the Fitness Report, plans were laid for continuing study of the evaluation program. The study was largely concerned with finding out what supervisors at all levels wanted in a fitness report. This approach recognizes the controversial nature of fitness reporting, there being almost as many opinions about it as there are people. What a majority wanted and how the majority were using the Fitness Report became the basis for the current change. Specific steps in the development were as follows:

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- a. Analysis of the replies of supervisors to the questionnaire circulated about the November 1954 Fitness Report.
- b. Analysis of the content of completed Fitness Reports and statistical studies pertaining thereto.
- c. Interviews with Operating Officials, administrative officers, supervisors, and personnel officers throughout the Organization concerning this subject.
- d. Development of a revised Fitness Report, reflecting the findings that had been arrived at, in order to provide a basis for further discussions.
- e. Submission of this proposed revision to a number of Operating Officials, administrative officers, supervisors, and personnel officers, from all components, in a series of meetings for pro and con discussions concerning all aspects of evaluation reporting. Each group spent much time in analyzing and discussing the proposed report, suggested changes, and the policies and procedures which should govern its use.
- f. The draft of the Fitness Report revision was further, and quite markedly, altered as a result of these meetings and presented to a task force of the Career Council especially appointed for this purpose.
- g. The second revision was then submitted to the operating and administrative officials to be sure the substance of their criticisms and recommendations had been incorporated.
- h. When general agreement was indicated, the proposed Fitness Report revision was recommended to the Career Council by the task force. The Council adopted the revised Fitness Report.

### 3. THE TWO PARTS OF THE FITNESS REPORT FORM

Job performance and potential were the two points emphasized during discussions with makers and users of Fitness Reports. The revisions reflect this emphasis. The emphasis on job performance is consistent with the individual's right to know how he is doing; the emphasis on potential is consistent with the Organization's right to obtain information permitting effective and fair planning. The two uses of the Fitness Report are differentiated and put into separate parts of the form ((Part I) Performance and (Part II) Potential) to permit the application of the different policies appropriate to the purposes in each case. The Fitness Report is not designed to provide a numerical rating of an individual. It is Organization policy that no such rating, either numerical or otherwise, be applied to employees as a product of completed Reports.

- a. (Part I) Performance (figure 1) is designed to elicit the supervisor's opinion concerning the on-the-job performance of the individual. It is concerned with the productivity and quality of performance of the employee on the job he is performing. It is Organization policy that *the employee has the right to see this part* after completion by the supervisor. Under the limited circumstances listed below, how-

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ever, the supervisor may elect not to show the report to the employee unless it supports an adverse action:

- (1) When there exists unusual operational circumstances such as those at a small station where the rater and the individual being evaluated are working and living in very close proximity and constant social interchange between them is necessary.
- (2) When, for medical or psychological reasons, it would be ill-advised to show the individual the report;
- (3) When security considerations preclude showing the report;
- (4) When the supervisor and individual being rated are so physically separated that it is impractical to show the report.

When the supervisor elects not to show the report to the individual being rated, for one or more of the above reasons, he shall give the reasons for his action in section B of (Part I) Performance. The individual may subsequently be shown the report by the head of his Career Service upon request, security considerations permitting. Suggestions for the conduct of the discussion or interview which will accompany the showing of the report are given in paragraph 5, below.

- b. (Part II) Potential (figure 2) is designed to provide Operating Officials and personnel officers with an opinion concerning the potential of the employee. Such information is necessary if due consideration is to be given the employee in assignments, promotions, selection for membership in the Career Staff and other actions affecting his status. This part of the report seeks to provide management with the type of information it should have to use and develop personnel. Organization policy prescribes that this part *WILL NOT BE SHOWN* to the individual being rated. The policy of *not* showing Part II of the Fitness Report to the rated individual is *not* to be construed as prohibiting discussions, at appropriate times not related to the Fitness Report, between the supervisor and the rated individual regarding the career potential and work environment characteristics of the rated individual. Such discussions should be encouraged. The supervisor has the right, generally the obligation, to explain his views to the rated individual, and the rated individual has the right to inquire as to his potential and the means available toward improving that potential.

#### 4. GUIDANCE FOR COMPLETING THE FITNESS REPORT (PART I) PERFORMANCE

##### SECTION A. GENERAL

The items of this section should be completed accurately and use should be made of official records, as necessary. Special instructions \* for completing or omitting items of this part of the report in the foreign field should be carefully observed.

\* Form No. 45a: Field Transmittal - Fitness Report (not attached).

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## SECTION B. CERTIFICATION

- Item 1. For the Rater: The supervisor rating a subordinate should refer to paragraph 3a, above, for guidance concerning exceptions to the policy of showing Part I of the report to the subordinate.

Subitem A — The last statement of this part of the certification is not to be confused with Item 1. Item 1 will be used to indicate whether the individual being rated was shown the completed Part I of the report. The final statement of subitem A should be checked by the supervisor when circumstances (e.g., physical separation) have prevented discussion, or communication with the employee about his job performance.

Subitem B — "This Date" is the date Part I of the report is signed by the supervisor.

Subitems C and D — Self-explanatory. Note special instructions for use in the foreign field.

- Item 2. For the Reviewing Official: See instructions provided in paragraph 8, below.

Subitem A — "This Date" is the date Part I of the report is signed by the Reviewing Official.

Subitems B and C — Self-explanatory. Note special instructions for use in the foreign field.

## SECTION C. JOB PERFORMANCE EVALUATION

- Item 1. Rating on General Performance of Duties  
The supervisor's rating of the employee in this section should be based exclusively on his productivity on the job, meaning the quality and quantity of his work performance. It may very well be that he is potentially worth more to the Organization in another capacity or that he is very pleasant to have around or that he is in some ways a distracting influence in the office — *but* he must be rated on how well and how rapidly he accomplishes his assignments. Other factors are reflected later in the report.

- Item 1. COMMENTS: Add clarifying comments concerning his performance in getting the work accomplished. The supervisor's opinion of his *productivity* is wanted.

- Item 2. Ratings on Performance of Specific Duties  
It is rare that two jobs, even those identically classified, are exactly the same in all respects. In this part of the report the supervisor has the opportunity to spell

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out, preferably in the order of their importance, the actual functions of the job being performed by the individual being rated. In Item 1, the supervisor indicated an overall rating for the performance of this individual. In this item he should determine the functions the employee performs, list them, and rate each one separately. For example: Two stenographers are working for the same supervisor. One has the special duty of managing a filing system, the other of serving as office receptionist. At least one function of each of these would be different and the employees would be rated according to the manner in which they perform such functions. Furthermore, supervisors will find that they expect different things from subordinates in terms of such factors as length of service, age, experience, etc. These conditions are reflected in the assignments given individuals and should be reflected in the rating applied in this section. Very careful consideration should be given this section because it is an important basis for evaluation of the employee for future assignments. For the supervisor it will form the main basis of the interview with the employee concerning his performance.

**Item 3. Narrative Description of Manner of Job Performance**

Do not essentially repeat the opinion expressed in Item 2. Instead, the supervisor should stress the strengths or weaknesses of the employee. In addition, the supervisor may comment here on any extenuating circumstances (family problems, outside distractions, etc.) which affect the productivity of the employee.

**SECTION D. SUITABILITY FOR CURRENT JOB IN ORGANIZATION**

As opposed to the ratings given the employee in the preceding section of the report, this part is used to evaluate or express the supervisor's opinion of the employee in an overall manner as it applies in his work. For example: An employee may not be highly productive but he may be good for the team; he works well with others; he is useful in many ways not directly associated with productivity or his assignments. Conversely, the employee may be a great producer but his work is done at the expense of teamwork, i.e., he disrupts harmony, does not fully cooperate, etc. In short, sum it up. The question following this section concerning suitability for some other position should be considered and answered regardless of the nature of the previous ratings if the supervisor has a sound recommendation based on the experience and interests of the employee.

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**5. SUGGESTIONS FOR THE INTERVIEW WITH THE EMPLOYEE  
WHEN SHOWING HIM THE FORM**

A GENERAL AND INESCAPABLE ELEMENT OF A SUPERVISOR'S JOB IS TO EVALUATE HIS SUBORDINATES, CONVEY HIS EVALUATION TO THEM, AND HELP THEM DEVELOP AND IMPROVE.

This is a continuous responsibility and is not adequately discharged by the single interview at fitness reporting time. Fitness reporting time, however, does provide a convenient time for a general review of an employee's performance. This discussion is one of the most important parts of the fitness reporting procedure. Like any other interview, the skill with which it is conducted will increase with the care the supervisor takes in planning for it. In looking over (Part I) Performance of the Fitness Report with the employee, the most likely source of discussion will be section C, Item 2 where his performance is noted. It follows, therefore, that in determining the items to be rated in section C, Item 2, the supervisor is providing himself with a basis for the interview. The thought the supervisor puts into completion of this section, the care with which he marshals current illustrations to back up his ratings, and the ingenuity he spends in thinking up specific suggestions for the employee will make a great deal of difference on how the interview goes. If the interview goes badly, morale of the employee suffers. If a supervisor has any doubt about his ability to deal with the interview in a specific instance, he should consult with his supervisor.

**a. GENERAL SUGGESTION**

Having the employee participate in the determination of the elements to be rated in section C, Item 2 is one method of getting the interview off to a good start. Preferably, this should be done in advance of fitness reporting time so that the employee will know what is expected of him and on what duties he is going to be evaluated. Supervisors must be prepared to yield a point if the employee can produce evidence that the supervisor has overlooked. But, supervisors must also be prepared to maintain their judgment when the employee has nothing but a generalized opinion not supported by specifics.

**b. SPECIFIC SUGGESTIONS FOR SUPERVISORS**

- (1) Prepare for the interview. Have specific and current illustrations at hand to show how the evaluation was arrived at.
- (2) Be sure the employee understands the purpose of the interview.
- (3) Begin the discussion of how the individual rates with a good point, if at all possible. Try to give at least as much credit as criticism.
- (4) Encourage the employee to talk. Listen to him. Schedule the interview so there is no need to hurry through it. Remember that the attitude the employee develops at this interview will affect both him and the supervisor for some time to come.

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(5) In discussing weaknesses:

- (a) Be prepared with current illustrations of them.
- (b) Be prepared with suggestions for improvement.
- (c) Avoid those the employee can do nothing about, unless they are important, e. g., those which indicate a need for change in assignment.
- (d) Keep the discussion oriented around a comparison of the performance of the employee with what is expected of him.
- (e) Avoid making specific comparison between the employee being rated and others during the discussion, since it may only lead to gossip in the unit and subsequent morale problems.

- (6) Close the interview on a positive note such as encouraging the employee to make suggestions on what he should do during the next rating period or what the supervisor could do to make his job better, or a summary of what the employee and supervisor have talked about.
- (7) Adapt these suggestions to your own personality and manner of dealing with your employees. Interviews in which a supervisor is clearly not behaving naturally are not usually successful.
- (8) Should any question arise concerning (Part II) Potential, the supervisor should state that policy forbids him to show that part to the employee. If the employee continues to press the discussion, he should be referred to the supervisor next in line for further information.

6. GUIDANCE FOR COMPLETING THE FITNESS REPORT (PART II) POTENTIAL

SECTION E. GENERAL

The items of this section should be completed accurately and use should be made of official records, as necessary. Special instructions for completing or omitting items of this part of the report in the foreign field should be carefully observed.

SECTION F. CERTIFICATION

- Item 1. For the Rater: Insert the date Part II of the report is signed in subitem A. Subitems B and C are self-explanatory. Note special instructions for use in the foreign field.
- Item 2. For the Reviewing Official: Insert the date Part II of the report is signed in subitem A. Subitems B and C are self-explanatory. Note special instructions for use in the foreign field.

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# SECTION G. ESTIMATE OF POTENTIAL

## Item 1. Potential to Assume Greater Responsibilities

Consideration should be given to the increased responsibilities that would accrue if the individual is to assume a position in the normal line of progression. In some cases, this means additional responsibilities within the same line of work requiring perhaps only greater self-direction or increased knowledge of the work. In other instances it may involve additional or different functions, such as supervision over others, planning, etc. Discretion must be exercised by the rater in recognizing that a position of "immediate higher responsibility" may not be available. The mere fact of nonexistence, in the foreseeable future, of a position of higher responsibility for the rated individual should not preclude the rater from entering the highest rating, if, in fact, he considers the highest rating a true evaluation of the rated individual's potential.

## Item 2. Supervisory Potential

Here the supervisor is asked for the best opinion he can give. For employees who have not been in a supervisory position, the estimate should take into account any aptitude (or lack of it) which may have been shown by the employee. For example: in his giving on-the-job instruction to others; in his getting the cooperation of the clerks or typists; or in his assumption of leadership in tasks assigned to a small group of which he is a member. If the supervisor has had no chance to evaluate such actions on the part of the individual, he will have to rate the employee on his best guess as to how he might respond in a supervisory position, using as a guide the employee's acceptance by others in a group as evidence of personal leadership, and his ability to organize and carry through his own work.

## Item 3. Self-explanatory.

## Item 4. Comments Concerning Potential

Add here any further remarks or clarification concerning the opinion of the employee's potential.

# SECTION H. FUTURE PLANS

## Item 1. Training or other Developmental Experience Planned (or Recommended) for the Individual

Include plans for on-the-job training, developmental rotation assignments, formal internal and external

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training and other plans which may be incorporated in career planning.

**Item 2. Note other Factors**

While on the basis of experience, training, and other factors an individual may have varying degrees of potential, this potential is affected by other circumstances which may permanently or only temporarily condition his potential, such as family illness. Please note such here.

**SECTION I. DESCRIPTION OF INDIVIDUAL**

This section requires a very critical analysis on the part of the supervisor. Each factor should be carefully considered. It is best to try to think of concrete examples in each case as the rating is applied. Remember that it is a rare case when an individual does not vary widely in as many factors as these covering his behavior. Approach each factor separately, without relation to others, and apply a rating. This section is a good test of the supervisor's ability to observe his subordinates.

**7. THE IMPORTANCE OF THE RATER**

Fitness Reports can be no better than the honesty and objectivity of the individual who makes them. They simply represent recorded opinions. Important functions of a supervisor are making such opinions, accurately reporting them to his superiors, and communicating them to his subordinates.

Since Fitness Reports are merely recorded opinion, they are not infallible. Standards of job performance differ, interpretations of words differ, abilities to judge others differ. There is no reason for two people to inevitably agree in reporting about the performance and potential of an individual, nor is there any reason why supervisors cannot change their opinion as they observe the individual longer. Hence, successive reports from the same supervisor may be expected to differ.

What can be expected from a rater under these circumstances? Basically, an honest attempt to record an opinion arrived at as objectively as he knows how. When in doubt about how to rate, make an effort to get more facts, more observations. Of one thing we are certain — attempts on the part of a supervisor to guess what standards *others* will use and to influence action by deliberately rating high, can only result, in the long run, in increased errors in personnel actions and less efficient work on the part of the Organization. Overrating out of a general feeling of kindness is one of the most difficult matters for a rater to control. He should consider the following:

- a. It is no real favor to an employee to overrate him because:
  - (1) Such evaluations often lead to assignments of duties and responsibilities which the individual cannot master.

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- (3) It may very well obscure the fact that additional training for the individual would be desirable.
- (3) It merely tends to put off a supervisory problem which should be met as the employee develops his work habits and practices.
- b. Of even greater importance, perhaps, is the fact that overrating some individuals is unfair to those doing as good or better. There is a limit to the upper ranges of a rating scale and, to the extent individuals are overrated, the upper end of the scale becomes less meaningful in those cases where the rating is actually justified.

#### 8. THE ROLE OF THE REVIEWING OFFICIAL

The reviewing official has the responsibility of deciding for himself whether the supervisor is either underrating or overrating the employee concerned. Reviewing officials should recognize that their frame of reference concerning an employee with whom they may have contact only occasionally is different from that of the supervisor who normally is in constant association with the individual. At the same time, the reviewing official should take this opportunity to evaluate the ability of the supervisor to rate subordinates. Reviewing officials are specifically asked *not* to require supervisors to rewrite Fitness Reports with which, the reviewing official does not agree. Instead, the proper procedure for the reviewing official is to add to the report, in the space provided, his comments on the rating given by the supervisor. The evaluation provided by the supervisor should be his own opinion. It is stressed that some disagreement between rater and reviewer is not unusual.

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Appendix E

Fitness Report Documents

Instruction Sheet - Fitness Report, Form No. 45

Form No. 45, March 1958

Form No. 45a, August 1958

Directions for Completing Form No. 45

## INSTRUCTION SHEET - Fitness Report, Form No. 45

### INSTRUCTIONS

#### SECTION A GENERAL

THE ITEMS OF THIS SECTION SHOULD BE COMPLETED BY THE APPROPRIATE ADMINISTRATIVE OR PERSONNEL OFFICER. SPECIAL INSTRUCTIONS FOR COMPLETING OR OMITTING ITEMS OF THIS PART OF THE REPORT SHOULD BE CAREFULLY OBSERVED WHEN PREPARING REPORTS FOR EMPLOYEES ASSIGNED OVERSEAS.

#### SECTION B EVALUATION OF PERFORMANCE OF SPECIFIC DUTIES

IN THIS SECTION THE SUPERVISOR WILL LIST THE MOST IMPORTANT DUTIES THE EMPLOYEE HAS PERFORMED DURING THE RATING PERIOD AND WILL RATE EACH DUTY SEPARATELY. DUTIES SHOULD BE LISTED IN ORDER OF IMPORTANCE. COMPARE WHEN POSSIBLE THE INDIVIDUAL BEING RATED WITH OTHERS PERFORMING THE SAME DUTY AT A SIMILAR LEVEL OF RESPONSIBILITY. TWO INDIVIDUALS WITH THE SAME JOB TITLE MAY BE PERFORMING DIFFERENT FUNCTIONS AND SHOULD BE RATED ON DIFFERENT DUTIES. VERY CAREFUL CONSIDERATION SHOULD BE GIVEN TO THE LISTING OF DUTIES AND THE RATING GIVEN EACH DUTY BECAUSE THIS INFORMATION IS IMPORTANT IN THE EVALUATION OF THE EMPLOYEE FOR FUTURE ASSIGNMENTS. IF THE JOB REQUIRES MAINTAINING FILES, SAY WHAT KIND; IF IT REQUIRES PREPARING CONTRIBUTIONS TO HIS CHAPTERS, SAY WHAT CHAPTERS; IF IT REQUIRES INTERVIEWING JOB APPLICANTS, SAY WHAT LEVEL OR FOR WHAT KIND OF JOBS; IF IT REQUIRES CONDUCTING INVESTIGATIONS, TELL WHAT KIND AND FOR WHAT PURPOSE; IF IT REQUIRES LIAISON ACTIVITIES, TELL WHAT KIND AND WITH WHOM; IF IT REQUIRES ANALYZING REPORTS OR PREPARING REPORTS, TELL WHAT KIND, WHAT SUBJECTS, AND FOR WHAT PURPOSE.

#### EXAMPLES:

- "OPERATES 1250 MULTILITH PRESS" -- NOT "OPERATES PRESS."
- "TYPES RESEARCH REPORTS HAVING MANY TABLES" -- NOT "TYPES"
- "SERVES AS SENIOR CASE OFFICER FOR 7 IMPORTANT CURRENT OPERATIONS USING KNOWLEDGE OF FRENCH AND POLISH LANGUAGES" -- NOT "SENIOR CASE OFFICER."
- "SUPERVISES SECOND-LINE SUPERVISORS WHO DIRECT ECONOMIC RESEARCH" -- NOT "DIRECTS RESEARCH."
- "RESPONSIBLE FOR PROCESSING FISCAL, FINANCIAL, AND BUDGET REPORTS FOR AN OPERATING BRANCH OF 50 PEOPLE" -- NOT "FINANCIAL SUPPORT."

#### SECTION C EVALUATING OVERALL PERFORMANCE IN CURRENT POSITION

IN MAKING THIS RATING THE SUPERVISOR SHOULD TAKE INTO ACCOUNT THE EMPLOYEE'S CONDUCT ON THE JOB AS WELL AS HIS PERFORMANCE ON ALL SPECIFIC JOB DUTIES. EACH SUPERVISOR WILL WEIGH THESE FACTORS IN HIS OWN MIND SO AS TO ARRIVE AT A RATING WHICH WILL REFLECT AN EMPLOYEE'S VALUE ON THE JOB. IT IS QUITE POSSIBLE FOR AN INDIVIDUAL TO BE RATED HIGH ON A NUMBER OF SPECIFIC DUTIES AND YET RATED AVERAGE OR BELOW ON OVERALL PERFORMANCE BECAUSE HIS CONDUCT ON THE JOB INTERFERES WITH GETTING THE WORK DONE. CONVERSELY, A PERSON WITH RELATIVELY LOW RATINGS ON CERTAIN SPECIFIC DUTIES MAY BE RATED HIGH ON OVERALL JOB PERFORMANCE BECAUSE HIS CONDUCT ON THE JOB FACILITATES THE WORK OF THE OFFICE OR BECAUSE OF OTHER PERSONAL QUALITIES THAT HE BRINGS TO THE JOB.

#### SECTION D DESCRIPTION OF THE EMPLOYEE

IN THIS SECTION THE SUPERVISOR CONSIDERS THE EMPLOYEE FROM A SUCCESSION OF DIFFERENT ANGLES AND MAKES A NUMBER OF CLOSE JUDGEMENTS ABOUT HIM. THESE JUDGEMENTS SHOULD BE BASED ON THE CHARACTERISTICS DEMONSTRATED BY THE INDIVIDUAL IN HIS CURRENT POSITION. THIS SERIES OF STATEMENTS APPLIES IN SOME DEGREE TO MOST PEOPLE, BUT SHOULD BE CHECKED ONLY WHEN SUCH RATINGS ASSIST IN THE DESCRIPTION OF THE INDIVIDUAL. THIS SECTION IS A GOOD TEST OF THE SUPERVISOR'S ABILITY TO OBSERVE HIS SUBORDINATES.

#### SECTION E NARRATIVE DESCRIPTION OF MANNER OF JOB PERFORMANCE

IN THIS SECTION THE SUPERVISOR DESCRIBES THE EMPLOYEE'S DEMONSTRATED ABILITIES OR DEFICIENCIES IN THE PERFORMANCE OF HIS PRESENT JOB. ANY RELATIVELY HIGH OR VERY LOW RATINGS IN SECTIONS B, C AND D SHOULD BE JUSTIFIED BY SUPPORTING STATEMENTS. IN ADDITION, THE SUPERVISOR MAY COMMENT HERE ON ANY EXTENUATING CIRCUMSTANCE WHICH AFFECTS THE PRODUCTIVITY AND EFFECTIVENESS OF THE EMPLOYEE.

#### SECTION F CERTIFICATION -- SELF-EXPLANATORY

SECRET

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# FITNESS REPORT

## SECTION A

## GENERAL

1. NAME (Last)	(First)	(Middle)	2. PERSONNEL SERIAL NO.	3. BIRTH DATE	4. SEX
5. GRADE	6. SERVICE DESIGNATION	7. OFFICIAL POSITION TITLE		8. OFF/DIV/BR OF ASSIGNMENT	

## 9. CAREER STAFF STATUS

<input type="checkbox"/> NOT ELIGIBLE	<input type="checkbox"/> PENDING	<input type="checkbox"/> MEMBER	<input type="checkbox"/> DECLINED	<input type="checkbox"/> DEFERRED	<input type="checkbox"/> DENIED
10. DATE REPORT DUE IN OP		11. PERIOD COVERED BY THIS REPORT FROM TO		12. NO. OF MONTHS UNDER MY SUPERVISION	

## 13. TYPE OF REPORT

<input type="checkbox"/> INITIAL	<input type="checkbox"/> REASSIGNMENT/SUPERVISOR	<input type="checkbox"/> SPECIAL (Specify)
<input type="checkbox"/> ANNUAL	<input type="checkbox"/> REASSIGNMENT/EMPLOYEE	

## SECTION B

## EVALUATION OF PERFORMANCE OF SPECIFIC DUTIES

List up to six of the most important specific duties performed during this rating period. Rate performance on EACH specific duty, considering ONLY the effectiveness in performance of that duty. All employees with supervisory responsibilities MUST be rated on their ability to supervise.

## DESCRIPTION AND RATING NO.

DESCRIPTION AND RATING NO.	1. PERFORMS THIS DUTY IN AN UNSATISFACTORY MANNER.	5. PERFORMS THIS DUTY IN AN EXCELLENT MANNER SUPERIOR TO MOST PERSONS HOLDING SIMILAR JOBS.
	2. PERFORMS THIS DUTY IN A BARELY ADEQUATE MANNER.	6. PERFORMS THIS DUTY IN AN OUTSTANDING MANNER FOUND IN VERY FEW PERSONS HOLDING SIMILAR JOBS.
	3. PERFORMS THIS DUTY ACCEPTABLY.	7. PERFORMS THIS DUTY IN AN OUTSTANDING MANNER SUPERIOR TO ALL OTHERS KNOWN TO RATER.
	4. PERFORMS THIS DUTY IN A COMPETENT AND SATISFACTORY MANNER.	

SAMPLE COPY

SPECIFIC DUTY NO. 1	RATING NO.	SPECIFIC DUTY NO. 4	RATING NO.
SPECIFIC DUTY NO. 2	RATING NO.	SPECIFIC DUTY NO. 5	RATING NO.
SPECIFIC DUTY NO. 3	RATING NO.	SPECIFIC DUTY NO. 6	RATING NO.

## SECTION C

## EVALUATION OF OVERALL PERFORMANCE IN CURRENT POSITION

Take into account everything about the employee which influences his effectiveness in his current position - performance of specific duties, productivity, conduct on job, cooperativeness, pertinent personal characteristics or habits, particular limitations or talents, etc.

RATING NO.

1. UNSATISFACTORY  
2. BARELY ADEQUATE

3. SATISFACTORY  
4. EXCELLENT

5. OUTSTANDING

## SECTION D

## DESCRIPTION OF THE EMPLOYEE

If the employee is deficient with respect to any characteristic, rate 1; if outstanding, rate 5. (It is expected that most ratings will be 2, 3, or 4)

PERSONAL CHARACTERISTICS	NOT APPLI- CABLE	NOT OB- SERVED	RATING					
			1	2	3	4	5	
GETS THINGS DONE								
RESOURCEFUL								
ACCEPTS RESPONSIBILITIES								
CAN MAKE DECISIONS ON HIS OWN WHEN NEED ARISES								
DOES HIS JOB WITHOUT STRONG SUPPORT								
FACILITATES SMOOTH OPERATION OF HIS OFFICE								
IS EFFECTIVELY								
SECURITY CONSCIOUS								
THINKS CLEARLY								

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## SECTION E

## NARRATIVE DESCRIPTION OF MANNER OF JOB PERFORMANCE

Describe strengths and weaknesses demonstrated in current position, indicate suggestions made to employee for improvement of his work. Describe, if appropriate, his potential for career development and for assuming greater responsibilities. Amplify or explain, if appropriate, ratings given in SECTIONS B, C, and D to provide the best basis for determining future personnel actions.

## SECTION F

## CERTIFICATION AND COMMENTS

## 1. BY EMPLOYEE

*I certify that I have seen this Fitness Report.*

DATE

SIGNATURE OF EMPLOYEE

## 2. BY SUPERVISOR

IF THIS REPORT HAS NOT BEEN SHOWN TO EMPLOYEE, GIVE EXPLANATION

IF REPORT IS NOT BEING MADE AT THIS TIME, GIVE REASON.

EMPLOYEE UNDER MY SUPERVISION LESS THAN 90 DAYS

REPORT MADE WITHIN LAST 90 DAYS

OTHER (Specify):

DATE

OFFICIAL TITLE OF SUPERVISOR

TYPED OR PRINTED NAME AND SIGNATURE

## 3. BY REVIEWING OFFICIAL

I WOULD HAVE GIVEN THIS EMPLOYEE ABOUT THE SAME EVALUATION.

I WOULD HAVE GIVEN THIS EMPLOYEE A HIGHER EVALUATION.

I WOULD HAVE GIVEN THIS EMPLOYEE A LOWER EVALUATION.

I CANNOT JUDGE THESE EVALUATIONS. I AM NOT SUFFICIENTLY FAMILIAR WITH THE EMPLOYEE'S PERFORMANCE.

COMMENTS OF REVIEWING OFFICIAL

DATE

OFFICIAL TITLE OF REVIEWING OFFICIAL

TYPED OR PRINTED NAME AND SIGNATURE

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SECRET

## FIELD TRANSMITTAL - FITNESS REPORT

## INSTRUCTIONS

The following items of the Fitness Report will NOT be completed by field personnel preparing the report for transmittal to Headquarters:  
 SECTION A, Item 1 and Item 6  
 SECTION F, Items 1, 2, and 3 (Only in respect to "Typed or Printed Name and Signature")  
 In Section A, item 7, the CURRENT STATION DESIGNATION will be substituted for "Off/Div/Br of Assignment."

1. I CERTIFY THAT I HAVE SEEN  
THIS FITNESS REPORT

DATE

TYPED OR PRINTED NAME AND SIGNATURE OF EMPLOYEE  
(In pseudonym)

2. I CERTIFY THAT, EXCEPT FOR ITEMS OMITTED UNDER THE ABOVE INSTRUCTIONS, ALL ITEMS APPEARING ON THE ATTACHED FITNESS REPORT HAVE BEEN COMPLETED UNDER PROVISIONS OF CURRENT INSTRUCTIONS OR REGULATIONS

DATE

TYPED OR PRINTED NAME AND SIGNATURE OF SUPERVISOR (In pseudonym)

DATE

TYPED OR PRINTED NAME AND SIGNATURE OF REVIEWING OFFICIAL (In pseudonym)

## SPECIAL NOTE

*Fitness Reports must be prepared with due regard for security considerations. For example, in the case of administrative and support personnel and others whose duties do not in themselves reveal sources of information and methods of operation, it is normally expected that a complete and realistic statement of specific duties may be reported in Section B. However, the nature, source, purpose or disposition of information or operations will not be included. On the other hand, the position titles and description of specific duties of certain other employees may jeopardize security and should not be fully reported on this form. In these cases, general statements of specific duties will be included in Section B indicating the level of responsibility.*

FORM 45a

OBSOLETE PREVIOUS EDITIONS.

SECRET

(4)

## DIRECTIONS FOR COMPLETING FORM 45, FITNESS REPORT

### SECTION A — GENERAL

The items of this section should be completed by the appropriate administrative or personnel officer. Special instructions for completing or omitting items of this part of the report should be carefully observed on Field Transmittal — Fitness Report, Form 45a.

### SECTION B — EVALUATION OF PERFORMANCE OF SPECIFIC DUTIES AND OF OVERALL PERFORMANCE

#### Rating Scale

The rating scale as set forth in this section in Form 45, Fitness Report, is to be used to reflect evaluation of Specific Duties and of Overall Performance. In making your selection of the adjective evaluation for Section B and in completion of the narrative in Section C the following factors should be considered as appropriate:

Cost Consciousness  
Security Consciousness  
Ability to Think Clearly  
Supervisory Effectiveness  
Acceptance of Responsibility  
Foreign Language Competence  
Effectiveness of Oral Expression  
Effectiveness of Written Expression

Mobility  
Initiative  
Versatility  
Productivity  
Decisiveness  
Resourcefulness  
Cooperativeness  
Records Discipline

#### Rating of Performance of Specific Duties

In this section the supervisor will list in order of importance the most significant duties the employee has performed during the rating period. Each duty shall be described in sufficient detail to provide information which may be useful later in considering individuals for other assignments. Your evaluation should be recorded by entering the appropriate letter in the box provided for your evaluation of each duty.

#### Rating of Overall Performance in Current Position

In making this rating the supervisor should take into account the employee's conduct on the job as well as his performance on all specific duties. Each supervisor will weigh these factors in his own mind so as to arrive at a rating which will reflect an employee's overall value on the job.

### SECTION C — NARRATIVE COMMENTS

In this section the supervisor describes the employee's demonstrated abilities or deficiencies in the performance of his present job. This may include comments regarding a specific duty by direct reference to that duty. Any relatively high or low

ratings in Section B should be explained or amplified by supporting statements. In addition, the supervisor may comment here on any extenuating circumstances which affect the productivity and effectiveness of the employee. Comment should be made on the relative performance of the person being rated with other people known to the rater doing comparable work. In commenting on the manner of performance of managerial or supervisory responsibilities, abilities and skills in such as the following should be considered:

Delegation of responsibility  
Establishment and maintenance of clear lines of authority  
Use of personnel, space, equipment, funds, etc.  
Formulation and coordination of programs  
Developing teamwork

In completing the ratings on Career-Provisional employees comment should be made on the intent, capability and desire of the individual to fulfill the service obligations of the Career Service to which he is assigned.

### SECTION D — CERTIFICATION AND COMMENTS

The person being rated may attach to his fitness report a memorandum concerning any part of the report. The memorandum will be attached to the original for inclusion in t Official Personnel Folder.

Reviewing officials are responsible for assuring that all reports made by rating officials under their jurisdiction are consistent and reflect uniform standards of reporting. Through the counseling and supervision of rating officials, reviewing officials can play a major role in improving the operation of the Fitness Report program.

In addition, reviewing officials should as a matter of practice submit a brief narrative evaluation of the performance and potential of the individual being rated, noting the degree to which he is personally familiar with the individual and his work. Even though the reviewing official may not be able to evaluate the individual from firsthand experience with him, it is likely that the reviewing official may be able to contribute useful information concerning future utilization or training of the individual based on the review of his record of performance and assignments.

If the reviewing official is in substantial disagreement with the rating official he should state whether or not he has discussed the evaluation with the rating official and the employee.

When a person departs an overseas station without having been shown his Fitness Report, it is incumbent upon the Career Service to have the report shown to the individual.

## DIRECTIONS FOR COMPLETING FORM 45, FITNESS REPORT

GENERAL1. POLICY

25X1A It is Organization policy to inform employees of the effectiveness of their work performance. Organization policy also requires that supervisors record at least once each year their opinions and evaluations of the work performance of employees under their jurisdiction. Evaluations will also be made whenever it is necessary or desirable to provide Organization management with information which may be pertinent to future personnel actions affecting these individuals. Regulation No. [REDACTED] outlines policies concerning the requirements for submitting initial, annual, reassignment and special reports, showing the report to the employee and appeals procedure. The Fitness Report, Form 45, is used to record evaluations. However, an evaluation in memorandum form may be substituted for Form 45 for employees in Grades GS-14 and above.

2. SUBMISSION

The Fitness Report will be submitted in triplicate to the Head of the Career Service concerned. The Head of the Career Service will retain one copy and will forward the original and other copy to the Office of Personnel.

3. INITIAL REPORT

A Fitness Report will be prepared for each employee as of nine months after his entrance on duty with the Organization. An initial report need not be made when a Fitness Report has already been made for some other purpose within 90 days prior to the due date of the initial report. The initial report is of particular importance in providing a record of the supervisor's evaluation of the employee before the employee has completed his twelve-month trial period. An initial report may be deferred for a period not to exceed 30 days beyond the due date to provide the supervisor with additional time to evaluate an employee who has been under his jurisdiction for less than 90 days.

4. ANNUAL REPORT

A Fitness Report will be prepared annually for each employee, except when a Fitness Report has been made for some other purpose within 90 days prior to the due date of the annual report. An annual report may be deferred until the employee has been under the jurisdiction of the supervisor for 90 days.

## SCHEDULE FOR SUBMISSION OF ANNUAL REPORTS

GRADES	FOR PERIOD ENDING	DUE IN OFFICE OF PERSONNEL	
		FROM HEADQUARTERS	FROM FIELD
GS-1 through GS-5	31 March	30 April	31 May
GS-6 through GS-8	30 June	31 July	31 August
GS-9 through GS-11	30 September	31 October	30 November
GS-12 and GS-13	31 December	31 January	28 February
GS-14 and above	31 March	30 April	31 May

5. REASSIGNMENT REPORT

A Fitness Report will be prepared whenever both the Immediate Supervisor of the employee and the Reviewing Official are changed by the reassignment of the employee. For the purpose of fitness reporting "Immediate Supervisor"

refers to the official who prepares and signs the Fitness Report of the employee concerned. When the supervisor is reassigned and has numerous reassignment reports to prepare he need complete only SECTIONS B, C, and D of the Fitness Report.

DIRECTIONS FOR COMPLETING FORM 45, FITNESS REPORT

INSTRUCTIONS

SECTION A GENERAL

The items of this section should be completed by the appropriate administrative or personnel officer. Special instructions for completing or omitting items of this part of the report should be carefully observed on Field Transmittal — Fitness Report, Form 45a.

SECTION B EVALUATION OF PERFORMANCE OF SPECIFIC DUTIES

In this section the supervisor will list the most important duties the employee has performed during the rating period and will rate each duty separately. Duties should be listed in order of importance. Compare when possible the individual being rated with others performing the same duty at a similar level of responsibility. Very careful consideration should be given to the listing of duties and the rating given each duty because this information is important in the evaluation of the employee for future assignments. If the job requires maintaining files, say what kind; if it requires preparing contributions to chapters of a publication, say what chapters; if it requires conducting investigations, tell what kind and for what purpose; if it requires liaison activities, tell what kind and with whom; if it requires analyzing reports or preparing reports, tell what kind, what subjects, and for what purpose. In rating employees with supervisory responsibilities, tell how many employees supervised and their grade levels.

EXAMPLES:

"Operates 1250 multilith press" — not "operates press."

"Types research reports having many tables" — not "types."

"Serves as senior supervisor for 7 important activities using knowledge of the French language" — not "senior supervisor."

"Supervises 3 second-line supervisors (GS-13 through GS-15 who direct economic research" — not "directs research."

"Responsible for processing fiscal, financial, and budget reports for an operating branch of 50 people" — not "financial support."

SECTION C EVALUATION OF OVERALL PERFORMANCE IN CURRENT POSITION

In making this rating the supervisor should take into account the employee's conduct on the job as well as his performance on all specific job duties. Each supervisor

will weigh these factors in his own mind so as to arrive at a rating which will reflect an employee's overall value on the job.

SECTION D DESCRIPTION OF THE EMPLOYEE

This section is a good test of the supervisor's ability to observe his subordinates. In this section the supervisor considers the employee from different points of view and makes a number of close judgments about him. These judgments should be based on the characteristics demonstrated by the individual in his current position. This series of statements applies in some degree to most people, but should be checked only when such ratings assist in the description of the individual. "Writes effectively" and "Discipline in originating, maintaining and disposing of records" may be qualifications which are not required in the employee's current position but, if observed, they should be rated in order to help describe the employee's capabilities and potential. "Discipline in originating, maintaining and disposing of records" refers to the awareness and application of procedures involved in the creation, maintenance and disposition of written materials.

SECTION E NARRATIVE DESCRIPTION OF MANNER OF JOB PERFORMANCE

In this section the supervisor describes the employee's demonstrated abilities or deficiencies in the performance of his present job. Any relatively high or very low ratings in SECTIONS B, C, and D should be explained or amplified by supporting statements. In addition, the supervisor may comment here on any extenuating circumstance which affects the productivity and effectiveness of the employee.

SECTION F CERTIFICATION AND COMMENTS

The reviewing official has the responsibility of deciding whether the supervisor is either underrating or overrating the employee concerned. A reviewing official should recognize that his frame of reference concerning an employee with whom he may have contact only occasionally is different from that of the supervisor who normally is in constant association with the individual. At the same time, the reviewing official should take the opportunity to evaluate the ability of the supervisor to rate subordinates. Some disagreement between the supervisor and the reviewing official when preparing evaluations is not unusual. In a situation where there are significant discrepancies between the ratings of the supervisor and the reviewing official, the Director of Personnel will discuss the report with the Head of the employee's Career Service and the employee will be informed of his standing and prospects by the Head of his Career Service.

## FITNESS REPORT

### SECTION A

### GENERAL

1. NAME (Last) (First) (Middle)			2. DATE OF BIRTH		3. SEX	4. GRADE
5. SERVICE DESIGNATION		6. OFFICIAL POSITION TITLE			7. OFF/DIV/BR OF ASSIGNMENT	
8. CAREER STAFF STATUS				9. TYPE OF REPORT		
NOT ELIGIBLE		MEMBER		DEFERRED		INITIAL
PENDING		DECLINED		DENIED		ANNUAL
10. DATE REPORT DUE IN O.P.		11. REPORTING PERIOD From To		SPECIAL (Specify)		

### SECTION B

### EVALUATION OF PERFORMANCE OF SPECIFIC DUTIES

List up to six of the most important specific duties performed during the rating period. Insert rating number which best describes the manner in which employee performs EACH specific duty. Consider ONLY effectiveness in performance of that duty. All employees with supervisory responsibilities MUST be rated on their ability to supervise (Indicate number of employees supervised).

1 - Unsatisfactory	2 - Barely adequate	3 - Acceptable	4 - Competent	5 - Excellent	6 - Superior	7 - Outstanding
SPECIFIC DUTY NO. 1		RATING NO.	SPECIFIC DUTY NO. 4		RATING NO.	
SPECIFIC DUTY NO. 2		RATING NO.	SPECIFIC DUTY NO. 5		RATING NO.	
SPECIFIC DUTY NO. 3		RATING NO.	SPECIFIC DUTY NO. 6		RATING NO.	

### SECTION C

### EVALUATION OF OVERALL PERFORMANCE IN CURRENT POSITION

Take into account everything about the employee which influences his effectiveness in his current position - performance of specific duties, productivity, conduct on job, cooperativeness, pertinent personal traits or habits, particular limitations or talents. Based on your knowledge of employee's overall performance during the rating period, place the rating number in the box corresponding to the statement which most accurately reflects his level of performance.

- 1 - Performance in many important respects fails to meet requirements.
- 2 - Performance meets most requirements but is deficient in one or more important respects.
- 3 - Performance clearly meets basic requirements.
- 4 - Performance clearly exceeds basic requirements.
- 5 - Performance in every important respect is superior.
- 6 - Performance in every respect is outstanding.

RATING NO.

### SECTION D

### DESCRIPTION OF THE EMPLOYEE

In the rating boxes below, check (X) the degree to which each characteristic applies to the employee

1 - Least possible degree	2 - Limited degree	3 - Normal degree	4 - Above average degree	5 - Outstanding degree				
CHARACTERISTICS		NOT APPLI-CABLE	NOT OB-SERVED	RATING				
				1	2	3	4	5
GETS THINGS DONE								
RESOURCEFUL								
ACCEPTS RESPONSIBILITIES								
CAN MAKE DECISIONS ON HIS OWN WHEN NEED ARISES								
DOES HIS JOB WITHOUT STRONG SUPPORT								
FACILITATES SMOOTH OPERATION OF HIS OFFICE								
WRITES EFFECTIVELY								
SECURITY CONSCIOUS								
KNOWS CLEARLY								
DISCIPLINE IN ORIGINATING, MAINTAINING AND DISPOSING OF RECORDS								
OTHER (Specify):								

## SECTION E

## NARRATIVE DESCRIPTION OF MANNER OF JOB PERFORMANCE

Stress strenuous conditions and responsibilities. Amplify or explain, if appropriate, ratings given in SECTIONS B, C, and D to provide the best basis for determining personnel actions.

## SECTION F

## CERTIFICATION AND COMMENTS

1. BY EMPLOYEE		
I certify that I have seen Sections A, B, C, D and E of this Report.		
DATE	SIGNATURE OF EMPLOYEE	
2. BY SUPERVISOR		
MONTHS EMPLOYEE HAS BEEN UNDER MY SUPERVISION	IF THIS REPORT HAS NOT BEEN SHOWN TO EMPLOYEE, GIVE EXPLANATION	
IF REPORT IS NOT BEING MADE AT THIS TIME, GIVE REASON.		
EMPLOYEE UNDER MY SUPERVISION LESS THAN 90 DAYS	REPORT MADE WITHIN LAST 90 DAYS	
OTHER (Specify):		
DATE	OFFICIAL TITLE OF SUPERVISOR	TYPED OR PRINTED NAME AND SIGNATURE
3. BY REVIEWING OFFICIAL		
I WOULD HAVE GIVEN THIS EMPLOYEE ABOUT THE SAME EVALUATION.		
I WOULD HAVE GIVEN THIS EMPLOYEE A HIGHER EVALUATION.		
I WOULD HAVE GIVEN THIS EMPLOYEE A LOWER EVALUATION.		
I CANNOT JUDGE THESE EVALUATIONS. I AM NOT SUFFICIENTLY FAMILIAR WITH THE EMPLOYEE'S PERFORMANCE.		
COMMENTS OF REVIEWING OFFICIAL		
DATE	OFFICIAL TITLE OF REVIEWING OFFICIAL	TYPED OR PRINTED NAME AND SIGNATURE

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Appendix F

Brief for CIA Career Council

Subject: Fitness Reporting

24 January 1962



**CONFIDENTIAL**

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24 JAN 1962

**BRIEF FOR THE CIA CAREER COUNCIL**

**SUBJECT: Fitness Reporting**

**I. BACKGROUND**

Statutory exemption from the Performance Rating Act of 1950 permits the Agency to develop and establish its own employee rating system. Various kinds of fitness reporting systems have been used by the Agency in the past (Tab A). Under the leadership of the Career Council, a great deal of coordinated effort and careful consideration have gone into the development, installation, and improvement of these systems. Fitness Report, Form 45, currently in use, was developed during 1958 by a Task Force of Senior officials from all parts of the Agency. After approval by the Career Council it was put into effect on January 1, 1959. This report is largely a combination of those parts of previous Fitness Report Forms which, in the opinion of the Task Force, had proven most useful and acceptable for employee evaluation purposes.

**II. EVALUATION OF CURRENT REPORTING SYSTEM**

Fitness Report evaluations are used extensively in selecting personnel for assignment, for competitive promotion and for training. They are also used in determining nominations of individuals for selection-out and in ranking personnel on relative retention lists for surplus categories of personnel. The maintenance of Fitness Report records on a current basis requires constant follow-up on the part of management. Slowness in submitting reports has been attributed in some part to a lack of satisfaction of supervisors with the reporting system and the report currently in use.

The Career Council at its 65th Meeting on 25 May 1961 directed that a report on the fitness reporting system be prepared including tabulations illustrating significant deviations in standards and practices. In view of this an examination of a large group of Fitness Reports was made. Also a review was completed on comments and suggestions on Fitness Reporting which were received voluntarily and upon solicitation from operating officials, Career Service representatives, personnel officers and employees.

This study revealed that the current fitness reporting system has been satisfactory. However, it is considered desirable at this time to make further improvements by simplifying and clarifying the rating standards and making other changes in the fitness report form and reporting system. The problem areas are highlighted in the proposed summary together with their proposed solutions.

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**CONFIDENTIAL**

PROBLEM

SOLUTION

1. The current Fitness Report, Form 45, provides in Section B for rating specific duty performance on a 7 point scale set up in equal intervals from "1-Unsatisfactory" to "7-Outstanding". It also provides for an overall rating, in Section C, on a six point scale of equal intervals, each letter described in sentence form. This difference in scale value was intentionally designed to avoid attempts to average the ratings on specific duties to derive the overall rating. Such averaging would not give weight to good or bad performance on single duties according to their relative importance. This result has not been achieved.

2. Rating of Personal Characteristics (Section D, Form 45). Our experience has indicated that the results are of doubtful validity and that users of the ratings have not found it useful.

3. There have been indications of inadequate participation by Reviewing Officials. This has been exemplified by failure to document agreement or disagreement with ratings and, on some occasions, Reviewing Officials indicate disagreement without explanation.

4. There is no space provided on the current Fitness Report, Form 45, for a person to show he has attached to the form a memorandum regarding any part of his rating.

5. The current form does not place sufficient emphasis on the rating of managerial and supervisory responsibilities.

1. The proposed revision of the form provides for rating both specific duties and overall performance on a 5-point scale with adjectives describing each level. The intervals on the scale are not even: Only one rating level is assigned to less-than-satisfactory performance but four levels are provided for discriminating among degrees from Satisfactory (Adequate) to Outstanding.

2. Eliminate this manner of evaluation of personal characteristics and make provision in other parts of the report for such evaluation. A low or high evaluation of a personal characteristic is better handled through a comment in the narrative section of the report.

3. Eliminate the opportunity in current Fitness Report, Form 45, for Reviewing Officials to merely check a box on the form to indicate their evaluation of the individual. Additional space is provided on the proposed form for the Reviewing Officials to enter their comments. Proposed instructions for the new fitness report form describe aspects of the ratings on which the Reviewing Official might desire to comment.

4. Provision has been made on the proposed Fitness Report Form and in the instructions for the individual to indicate that he has attached a memorandum regarding his rating should he so desire.

5. The revised form and the instructions give greater stress to this requirement.

**CONFIDENTIAL**

### III. CONCLUSIONS

Improvements in the Agency Fitness Reporting System are advisable at this time:

- a. The proposed changes in the Fitness Reporting System and the revised form will provide more useful information to meet Agency personnel management requirements.
- b. Improved instructions to accompany the Fitness Report Form will be valuable in introducing the revised form.
- c. Short training courses for supervisors, personnel or administrative personnel should be conducted at the time the form is put into effect.

### IV. RECOMMENDATIONS

- a. Form 45, Fitness Report, be revised in accordance with sample proposed in TAB B-6.
- b. Directions for preparing Fitness Report, Form 45, Revised, be approved for publication (TAB B-7).
- c. An All Employee Notice be published to announce the inauguration of the new reporting system and form, TAB C.

STUDY OF FITNESS REPORTING

1. Approach Used

A study of the effectiveness of the current Fitness Reporting System was accomplished through the examination of a representative sample of 300 Fitness Reports completed during 1960 and through the review of comments and suggestions on fitness reporting received voluntarily or upon request from supervisors, personnel officers, and employees. In addition, the statistical distribution of ratings on overall performance for 10,326 reports prepared during 1960 was tabulated and analyzed. The conclusions of this review and the suggestions advanced to correct deficiencies noted are set forth in the following sections.

2. Rating Standards

A. Tabulations of the distribution of fitness report ratings on Performance of Specific Duties, Overall Performance and Description of the Employee are presented in Tabs B-1, 2, 3 and 4. They show the following:

(1) Performance of Specific Duties

The ratings given to three specific duties were used for this analysis. The profiles for the three major directorates show a very close similarity in the use of the seven degree rating scale (Tab B-1). Rating Number One, Unsatisfactory, was not used at all, and Rating Number Seven, Outstanding, was used to a remarkably close degree. The percentage of use of Ratings Three, Four, Five and Six were very close for the DD/I and DD/P whereas in the DD/S area lower ratings were given. A comparative distribution of the ratings of the first three specific duties of a proportionate sample from each of the individual career services of the three major directorates is presented in Tab B-4. This reveals the same pattern as mentioned immediately above. This analysis also included a breakdown by the following grade groupings: GS 6-8; GS 9-11; and GS 12-13. A direct relationship of higher ratings for higher grades was evident.

(2) Overall Performance in Current Position

Rating of Overall Performance employed the use of a six-degree rating scale. As in the case of the seven-degree scale used for rating Specific Performance, Rating Number One was used extremely infrequently (Tab B-2). While there was a high degree of similarity in the profiles for the grade groupings GS 6-8 and GS 9-11, it was again evident that the higher the grade the higher the frequency of higher ratings.

The distribution of Overall Ratings by major directorate was very similar to those for Specific Performance. The DD/I and DD/P assigned more ratings at the two higher levels of rating, Superior and Outstanding, than the DD/S; however, the three directorates compare very closely when the three top levels of rating are combined.

(3) Description of the Employee

A five-degree rating scale was used for this purpose. Tab B-3 shows a high degree of similarity in the assignment of ratings both when viewed from a Career Service standpoint and from a grade grouping standpoint. The highest rating, Five, Outstanding, was assigned to approximately twenty percent of the items rated. This is a considerably greater use of the Outstanding Rating for this purpose than in the evaluation of the Performance of Specific Duties or Overall Performance. Characteristic of this analysis the individual DD/I and DD/P Career Services employed the two higher ratings, Above Average Degree and Outstanding Degree, more frequently than those of the DD/S, (Tab B-4).

(4) The averages for all ratings for each of these rating categories are as follows:

<u>Rating Category</u>	<u>Rating Scale</u>	<u>Agency Average</u>
	(Seven Degree Scale)	
Specific Duties	4 Competent 5 Excellent 6 Superior	5.0 Excellent
	(Six Degree Scale)	
Overall Performance	4 Clearly Exceeds Requirements 5 Superior in Every Important Respect	4.3
	(Five Degree Scale)	
Description of the Employee	3 Normal Degree 4 Above Average 5 Outstanding	4.0 Above Average

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B. The nature of the distribution of Fitness Report ratings and averages in the foregoing might raise questions and point to conclusions such as the following:

- (1) The use of three separate rating scales of five, six and seven degrees makes it difficult for a supervisor to apply standards clearly and uniformly to the three separate rating categories used in the report.
- (2) In the use of Fitness Reports for personnel management purposes, a difficulty, similar to that in (1) above, exists causing management officials to usually focus on the rating for Overall Performance, and the narrative statement in their interpretation of a Fitness Report.
- (3) Inasmuch as the performance of nearly all Agency personnel clearly or greatly exceeds the requirements of their positions, are our people overqualified for the work? Or, are our standards of performance established too low? Or, is the terminology used for our rating standards confusing and unclear? (We have long maintained that our qualifications standards are high and the requirements of most of our work difficult and demanding.)
- (4) Reviewing Officials may be encouraging unrealistic rating practices by their failure to play an active role in the application of rating standards and contribution to the evaluation of the individual.
- (5) Rating officials may be inadequately trained in the important supervisory function of employee evaluation and fitness reporting.

C. Although some validity may be accorded to each of the above possible conclusions, there are a number of extenuating circumstances which also must be given careful consideration in any attempt to improve our rating practices:

- (1) Difficulty in stating, understanding and interpreting rating standards is not limited to CIA but has long existed in other agencies, the military services and in private organizations. Despite constant efforts to achieve valid rating programs, no one system has yet emerged as conspicuously successful. Our current fitness report form is generally regarded as superior to or at least as good as any previously used.
- (2) In CIA, it is difficult to provide adequate recognition for individuals who perform well. The Fitness Report thus serves an important purpose of recognizing on the record good or exceptional achievement and performance. The trend, understandably, has been to take a liberal approach in the interest of management-employee relations. This approach has been justified particularly for small overseas units where close and harmonious supervisor-employee association is imperative to successful operation.

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- (3) Most Agency assignments do not lend themselves to precise definition and description nor to the establishment of formal standards of performance. Characteristically, our system has long recognized that the capabilities of the individual influence what his position, its requirements, and frequently, the grade level will be. Thus, the individual and the job are more nearly synonymous in CIA than in most organizations, a fact which complicates the use of job requirements as a standard for measuring effectiveness of performance.
- (4) Perplexing problems have arisen when Career Service officials have sought to take adverse action against an employee frankly acknowledged to be substandard but whose Fitness Report faithfully documents his performance and capability over the years as consistently distinguished.
- (5) In recognition of the need for improving existing employee evaluation practices, several of our Career Service Heads and operating officials have made and are making genuine and aggressive efforts to obtain realistic ratings. Some successes have been achieved, but a unified, Agency-wide effort in this respect has not been undertaken.

The above characteristics of fitness reporting in the Agency have been taken into account in developing the proposal which follows for revising the fitness reporting program. Early in our review, we concluded that it would be preferable and more acceptable to employees and supervisors alike to institute revised rating standards and practices coupled with the introduction of a substantially new fitness report form rather than attempting major readjustments in rating while continuing to use the existing rating scales and form.

### 3. Numerical Rating Scales

The current Fitness Report Form, Tab B-5, uses separate and independently defined rating scales for evaluating performance of Specific Duties, Overall Performance, and Employee Characteristics in Sections B, C and D, respectively. The scales have seven, six, and five degrees of discrimination in order to eliminate standardization or direct comparison between the respective factors rated. In practice, however, the variance in rating scales and the necessity to use a different adjectival or descriptive definition of the scale for each part of the Fitness Report have caused complications and misunderstandings and detracted from the acceptance of the Report. Some of the complications may have resulted from the fact that, based on a strict comparison of the degree definitions, there are literally nine (9) distinguishable degrees of ratings now in use.

<u>Degree</u>	<u>Section B Specific Duties</u>	<u>Section C Overall Performance</u>	<u>Section D Employee Characteristics</u>
1.	Unsatisfactory (1)	Fails to Meet Requirements (1)	Least Possible Degree (1)
2.	Barely Adequate (2)	. . . . .	Limited Degree (2)
3.	. . . . .	Meets Most Requirements; (2) Deficient in One or More Important respects	. . . . .
4.	Acceptable (3)	. . . . .	. . . . .
5.	Competent (4)	Meets Basic Requirements (3)	Normal Degree (3)
6.	. . . . .	Exceeds Basic Requirements (4)	Above Average (4)
7.	Excellent (5)	. . . . .	. . . . .
8.	Superior (6)	Superior (5)	. . . . .
9.	Outstanding (7)	Outstanding (6)	Outstanding (5)

Comments received from supervisors, personnel officers, and employees (including several independent employee suggestions submitted under the Suggestions Awards Program) favor simplification and standardization of the rating scale. Accordingly the revised rating scale proposed in Section B is designed to eliminate difficulties occasioned by the incongruous rating scales in the present form.

#### 4. Content and Format of the Fitness Report

The following paragraphs summarize findings with respect to the effectiveness of the various major sections of the Current Fitness Report, Form 45, Tab 5, and outline recommended changes. A revised Form 45, incorporating the changes, is attached as Tab B-6.

##### (1) Section A - General Form 45

This section covers basic data identifying the employee and and his status. Changes are required to indicate category of employee to replace section currently titled "Career Staff Status".

##### (2) There was general agreement that specific major duties warrant individual evaluation on an adjective scale, but the current seven degree rating must be simplified. There was also a proposal that each specific duty receive a narrative evaluation. A five degree



scale has been provided in the proposed form, however, a narrative evaluation of specific duties is not planned. The revised instructions state that a rater may use Section C, Narrative Description of Job Performance (proposed form) for comments regarding a specific duty by direct reference to that duty.

(3) Section C - Evaluation of Overall Performance

The consensus was that an adjective rating scale for evaluating overall performance was essential to the purposes a fitness report should serve in the Agency. Most comments received emphasized that it should be made clear that each employee is being compared with others of similar level and type of work in CIA as well as against his job--not with the population at large. This comparison can only be made within a framework of the rater's knowledge of other people doing similar work. The same five-degree rating scale that is used for the rating of specific duties is also to be used for overall performance. In addition, the instructions provide for comment in the narrative on the relative performance of the person being rated with other people known to the rater doing similar work.

(4) Section D - Description of the Employee

The weight of opinion by users of the Report is that the ratings of specific characteristics are not very meaningful and could well be discontinued. It was pointed out that such characteristics as "Gets Things Done", "Resourceful", "Writes Effectively", and the like would, if applicable to the job performed, be considered in the level of rating accorded specific duties and also in the narrative evaluations of performance. Accordingly, the purpose of this section might be served equally well if the Fitness Report directions (Tab B-7) include instructions to the following effect:

"In the evaluation of the manner of performance of specific duties and overall job performance, the following factors will be considered and specifically commented upon when they are considered of significance in the job:

Productivity	Mobility
Decisiveness	Records Discipline
Resourcefulness	Versatility
Supervisory Effectiveness	Cost Consciousness
Ability to Think Clearly	
Acceptance of Responsibility	
Effectiveness of Written Expression	
Effectiveness of Oral Expression	

Section D could then be eliminated, and the report thereby simplified without losing any vital elements.

(5) Section E - Narrative Description of Manner of Job Performance

This narrative section is acknowledged by virtually all users as the most informative and reliable part of the Fitness Report. Its retention is unanimously desired. In fact, several suggestions were to expand this section by providing additional space and establishing separate subsections to assure receipt of narrative comments on items such as strengths, weaknesses, potential, recommended training and future assignments, and suitability for overseas. It will be noted that this type of approach was used for several years by the Agency, Form 37-151, May 1952, Tab A-3, and to a lesser degree on succeeding report forms. The approach was abandoned, however, by the Council Task Force in developing the current form. The Task Force reasoned that greater flexibility and more useful narrative information would result if we do not force raters into following a rigid pattern but merely provide guide lines as to coverage. Results since then have proven generally satisfactory and support the Task Force position. However, as a further improvement it is considered desirable to require descriptions in this section of supervisory and management responsibilities in addition to their being listed and rated among Specific Duties in Section B.

Raters will be expected to sum up characteristics of performance--in comparison to job requirements and in relation to that of other individuals doing similar work--and will include information on personal characteristics, qualifications, potential for future job assignments, and training or developmental assignments recommended.

(6) Section F - Certification and Comments

Few comments or suggestions were received as to the use or continuance of this section. It was found that the subsection which provides that the supervisor return the blank form with explanation when a report is not being made was serving little useful purpose and can be eliminated to save paper work. The same effect can be achieved through using other sections of the report for this purpose. The proposed instructions will so indicate.

In Section D, 1 space has been provided for the person being rated to check a box to indicate that he has attached a memorandum regarding the report, should he desire to submit one.

In the subsection providing for Certifications and Comments by the Reviewing Official, it is noted that in about 96% of the cases, the Reviewing Official would have given the employee about the same evaluation; in 1% the Reviewing Official would have rated the employee higher; in 1% lower. In 2% of the cases, the Reviewing Official was not sufficiently familiar with the employee's

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performance to evaluate. In only about 10% of the 96% did the Reviewing Official make comments which could be judged as contributing substantially to the usefulness of the report.

The role of the Reviewing Official and his accountability for endorsement of Fitness Report ratings have not been strongly emphasized in most parts of the Agency. We believe that more positive action by the Reviewing Official will greatly help in achieving a realistic rating program, and accordingly recommend that a narrative evaluation by the Reviewing Officer be encouraged. In the new Section D-3 we would hope that the Reviewing Officer will state why he would give the employee the same or different evaluation and amplify the rating official's comments on the employee's overall evaluation. Present procedures for resolving wide divergencies of opinion between rater and reviewer by the Director of Personnel and the head of the Career Service concerned and for notifying employees would be continued.

5. Proposed Fitness Report Form (Tab 6)

Recommendations made in the precoding Section 4 are incorporated in the form together with the basic instructions considered necessary. This form will be supplemented by a more detailed Instruction (Tab 7).

6. Fitness Report Procedures

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██████████ Fitness Report, established current procedures which are consistent with the recommendations of this study. The scheduling of reports by grade groups with timing related to promotion considerations has been found to be useful. The use of memorandum in lieu of Fitness Report for GS-14 and above personnel is recommended with the understanding that the content of the memorandum will be generally consistent with the evaluations called for in the revised Fitness Report Form.

- Tab 1 - Evaluation of Specific Duties
- Tab 2 - Evaluation of Overall Performance in Current Position
- Tab 3 - Description of Employee
- Tab 4 - Tabulation of Fitness Report Ratings by Career Service & Grade
- Tab 5 - Current Form 45
- Tab 6 - Proposed Form 45
- Tab 7 - Instructions for Fitness Report

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CAREER VICE	NUMBER IN SAMPLING	SECTION B DISTRIBUTION OF RATINGS FOR 3 SPECIFIC DUTIES							SECTION D DESCRIPTION OF THE EMPLOYEE				
		1	2	3	4	5	6	7	1	2	3	4	5
D TOTAL	117	-	2	13	76	150	98	12	-	16	220	610	277
		-	1%	3%	22%	43%	28%	3%	-	1%	20%	54%	25%
SA	8	-	-	1	6	9	8	-	-	-	24	42	12
SC	36	-	1	15	50	32	10	-	-	4	156	149	23
SF	13	-	-	3	13	19	3	1	-	2	38	62	20
SJ	3	-	-	-	6	3	-	-	-	-	6	17	6
SL	16	-	1	4	9	27	7	-	-	5	38	78	28
SM	2	-	-	-	1	2	-	3	-	-	4	5	10
SP	8	-	-	3	2	10	9	-	-	5	14	48	10
SS	17	-	-	1	9	24	16	1	-	-	26	95	46
ST	7	-	-	-	2	7	10	2	-	1	7	32	30
TOTAL DDS TYPE	110	-	2	27	99	133	63	7	-	17	313	528	185
		-	1%	8%	30%	40%	19%	2%	-	1%	30%	51%	18%
C	16	-	1	1	8	28	9	1	-	3	26	73	34
I	1	-	-	-	-	1	2	-	-	-	4	6	-
IB	2	-	-	-	1	2	2	1	-	-	1	9	9
C	7	-	-	-	3	9	8	1	-	1	13	26	26
IN	1	-	-	-	2	1	-	-	-	-	6	3	-
IP	4	-	-	1	2	6	3	-	-	-	4	29	4
IR	14	-	-	2	14	16	10	-	-	5	39	53	34
IS	8	-	-	1	2	7	12	2	-	-	12	33	34
OB	7	-	-	-	7	8	6	-	-	1	16	32	17
OC	7	-	-	-	1	14	4	2	-	2	19	37	18
OD	6	-	-	-	3	9	6	-	-	-	7	41	8
TOTAL DDI TYPE	73	-	1	5	43	101	62	7	-	12	147	342	184
		-	1%	2%	20%	46%	28%	3%	-	2%	21%	50%	27%
GRAND TOTAL	300	-	5	45	217	384	223	26	-	45	680	1480	646
		-	1%	5%	24%	42%	25%	3%	-	2%	24%	52%	22%

- 1 - UNSATISFACTORY  
2 - BARELY ADEQUATE  
3 - ACCEPTABLE  
4 - COMPETENT  
5 - EXCELLENT  
6 - SUPERIOR  
7 - OUTSTANDING

- 1 - LEAST POSSIBLE DEGREE  
2 - LIMITED DEGREE  
3 - NORMAL DEGREE  
4 - ABOVE AVERAGE DEGREE  
5 - OUTSTANDING DEGREE

THE MATERIAL USED IN THIS SAMPLING IS TAKEN FROM 1960 FITNESS REPORTS. THE DISTRIBUTION AMONG CAREER SERVICES IN IN APPROXIMATELY THE SAME RATIO AS THE ACTUAL AGENCY CAREER SERVICE EMPLOYEE DISTRIBUTION. IN SECTION B APPROVED FOR RELEASE 2000/06/01 : CIA-RDP90-00708R000200100001-6 OF DUTIES RATE IN SECTION D ALL RATINGS DESCRIBING THE CHARACTERISTICS OF THE EMPLOYEE WERE TABULATED--USUALLY TEN, UNLESS THE CHARACTERISTICS WERE NOT APPLICABLE OR NOT OBSERVED. - 112 -

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TABULATION OF FITNESS REPORT RATINGS BY GRADE  
GS-3 through GS-15

Grade	Number in Sampling	SECTION B							SECTION D				
		Distribution of Ratings for 3 Specific Duties							Description of the Employee				
		1	2	3	4	5	6	7	1	2	3	4	5
GS-15	15		1	2	5	15	20	2		4	34	52	45
GS-14	26				5	30	38	5			17	133	105
GS-13	35			1	13	52	36	3			56	198	96
GS-12	42			4	27	65	28	2		4	95	229	86
GS-11	20		2	7	13	30	7	1		14	59	90	30
GS-10	9				3	14	10				13	48	29
GS-9	35			6	40	41	18			2	104	177	44
GS-8	18			3	20	7	19	2		3	47	57	35
GS-7	41		2	12	42	48	13	6		6	125	193	69
GS-6	20			1	16	29	13	1			41	118	30
GS-5	24			3	12	37	17	3		2	48	117	55
GS-4	14			6	16	15	4	1		10	35	58	21
GS-3	2				5	1					6	10	1
Total	300	-	5	45	217	384	223	26	-	45	680	1480	646
Percentage		0%	1%	5%	24%	42%	25%	3%	0%	2%	24%	52%	22%
Average Rating		5							4				

- 1 - Unsatisfactory
- 2 - Barely Adequate
- 3 - Acceptable
- 4 - Competent
- 5 - Excellent
- 6 - Superior
- 7 - Outstanding

- 1 - Least Possible Degree
- 2 - Limited Degree
- 3 - Normal Degree
- 4 - Above Average Degree
- 5 - Outstanding Degree

The material used in this sampling is taken from 1960 fitness reports. The distribution among grades is in approximately the same ratio as the actual Agency employee grade distribution. In Section B the ratings apply only to the first three specific duties regardless of the number of duties rated. In Section D all ratings describing the characteristics of the employee were tabulated--usually ten, unless the characteristics were not applicable or not observed.

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EMPLOYEE SERIAL NUMBER

## FITNESS REPORT

## SECTION A

## GENERAL

1. NAME (Last) (First) (Middle)			2. DATE OF BIRTH		3. SEX	4. GRADE
5. SERVICE DESIGNATION		6. OFFICIAL POSITION TITLE			7. OFF/DIV/BR OF ASSIGNMENT	
8. CAREER STAFF STATUS				9. TYPE OF REPORT		
NOT ELIGIBLE		MEMBER		DEFERRED		INITIAL
PENDING		DECLINED		DENIED		ANNUAL
10. DATE REPORT DUE IN O.P.		11. REPORTING PERIOD From To		SPECIAL (Specify)		

## SECTION B

## EVALUATION OF PERFORMANCE OF SPECIFIC DUTIES

List up to six of the most important specific duties performed during the rating period. Insert rating number which best describes the manner in which employee performs EACH specific duty. Consider ONLY effectiveness in performance of that duty. All employees with supervisory responsibilities MUST be rated on their ability to supervise (Indicate number of employees supervised).

1 - Unsatisfactory	2 - Barely adequate	3 - Acceptable	4 - Competent	5 - Excellent	6 - Superior	7 - Outstanding
SPECIFIC DUTY NO. 1		RATING NO.	SPECIFIC DUTY NO. 4		RATING NO.	
SPECIFIC DUTY NO. 2		RATING NO.	SPECIFIC DUTY NO. 5		RATING NO.	
SPECIFIC DUTY NO. 3		RATING NO.	SPECIFIC DUTY NO. 6		RATING NO.	

## SECTION C

## EVALUATION OF OVERALL PERFORMANCE IN CURRENT POSITION

Take into account everything about the employee which influences his effectiveness in his current position - performance of specific duties, productivity, conduct on job, cooperativeness, pertinent personal traits or habits, particular limitations or talents. Based on your knowledge of employee's overall performance during the rating period, place the rating number in the box corresponding to the statement which most accurately reflects his level of performance.

- 1 - Performance in many important respects fails to meet requirements.
- 2 - Performance meets most requirements but is deficient in one or more important respects.
- 3 - Performance clearly meets basic requirements.
- 4 - Performance clearly exceeds basic requirements.
- 5 - Performance in every important respect is superior.
- 6 - Performance in every respect is outstanding.

RATING NO.

## SECTION D

## DESCRIPTION OF THE EMPLOYEE

In the rating boxes below, check (X) the degree to which each characteristic applies to the employee

1 - Least possible degree	2 - Limited degree	3 - Normal degree	4 - Above average degree	5 - Outstanding degree				
CHARACTERISTICS		NOT APPLICABLE	NOT OBSERVED	RATING				
				1	2	3	4	5
GETS THINGS DONE								
RESOURCEFUL								
ACCEPTS RESPONSIBILITIES								
CAN MAKE DECISIONS ON HIS OWN WHEN NEED ARISES								
DOES HIS JOB WITHOUT STRONG SUPPORT								
FACILITATES SMOOTH OPERATION OF HIS OFFICE								
WRITES EFFECTIVELY								
SECURITY CONSCIOUS								
THINKS CLEARLY								
D. PLANE IN ORIGINATING, MAINTAINING AND DISPOSING OF RECORDS								
OTHER (Specify)								

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SEE SECTION "E" ON REVERSE SIDE

**SECTION E NARRATIVE DESCRIPTION OF MANNER OF JOB PERFORMANCE**

stress strengths and weaknesses demonstrated in current position. Indicate suggestions made to employee for improvement of his work. Give recommendations for his training. Describe, if appropriate, his potential for development and for assuming greater responsibilities. Amplify or explain, if appropriate, ratings given in SECTIONS B, C, and D to provide the best basis for determining future personnel actions.

**SECTION F CERTIFICATION AND COMMENTS**

<b>1. BY EMPLOYEE</b>		
I certify that I have seen Sections A, B, C, D and E of this Report.		
DATE	SIGNATURE OF EMPLOYEE	
<b>2. BY SUPERVISOR</b>		
MONTHS EMPLOYEE HAS BEEN UNDER MY SUPERVISION	IF THIS REPORT HAS NOT BEEN SHOWN TO EMPLOYEE, GIVE EXPLANATION	
IF REPORT IS NOT BEING MADE AT THIS TIME, GIVE REASON.		
EMPLOYEE UNDER MY SUPERVISION LESS THAN 90 DAYS		REPORT MADE WITHIN LAST 90 DAYS
OTHER (Specify):		
DATE	OFFICIAL TITLE OF SUPERVISOR	TYPED OR PRINTED NAME AND SIGNATURE
<b>3. BY REVIEWING OFFICIAL</b>		
I WOULD HAVE GIVEN THIS EMPLOYEE ABOUT THE SAME EVALUATION.		
I WOULD HAVE GIVEN THIS EMPLOYEE A HIGHER EVALUATION.		
I WOULD HAVE GIVEN THIS EMPLOYEE A LOWER EVALUATION.		
I CANNOT JUDGE THESE EVALUATIONS. I AM NOT SUFFICIENTLY FAMILIAR WITH THE EMPLOYEE'S PERFORMANCE.		
COMMENTS OF REVIEWING OFFICIAL		
DATE	OFFICIAL TITLE OF REVIEWING OFFICIAL	TYPED OR PRINTED NAME AND SIGNATURE



## DIRECTIONS FOR COMPLETING FORM 45, FITNESS REPORT

## GENERAL

## 1. POLICY

It is Organization policy to inform employees of the effectiveness of their work performance. Organization policy also requires that supervisors record at least once each year their opinions and evaluations of the work performance of employees under their jurisdiction. Evaluations will also be made whenever it is necessary or desirable to provide Organization management with information which may be pertinent to future personnel actions affecting these individuals.

25X1A [redacted] outlines policies concerning the requirements for submitting initial, annual, reassignment and special reports, showing the report to the employee and appeals procedure. The Fitness Report, Form 45, is used to record evaluations. However, an evaluation in memorandum form may be substituted for Form 45 for employees in Grades GS-14 and above.

## 2. SUBMISSION

- The Fitness Report will be submitted in duplicate to the Head of the Career Service concerned. The Head of the Career Service will retain one copy and will forward the original to the Office of Personnel.

## 3. INITIAL REPORT

A Fitness Report will be prepared for each employee as of nine months after his entrance on duty with the Organization. An initial report need not be made when a Fitness Report has already been made for some other purpose within 90 days prior to the due date of the initial report. The initial report is of particular importance in providing a record of the supervisor's evaluation of the employee before the employee has completed his twelve-month trial period. An initial report may be deferred for a period not to exceed 30 days beyond the due date to provide the supervisor with additional time to evaluate an employee who has been under his jurisdiction for less than 90 days.

## 4. ANNUAL REPORT

A Fitness Report will be prepared annually for each employee, except when a Fitness Report has been made for some other purpose within 90 days prior to the due date of the annual report. An annual report may be deferred until the employee has been under the jurisdiction of the supervisor for 90 days.

## SCHEDULE FOR SUBMISSION OF ANNUAL REPORTS

GRADES	FOR PERIOD ENDING	DUE IN OFFICE OF PERSONNEL	
		FROM HEADQUARTERS	FROM FIELD
GS-1 through GS-5	31 March	30 April	31 May
GS-6 through GS-8	30 June	31 July	31 August
GS-9 through GS-11	30 September	31 October	30 November
GS-12 and GS-13	31 December	31 January	28 February
GS-14 and above	31 March	30 April	31 May

## 5. REASSIGNMENT REPORT

Supervisors will prepare a Fitness Report when the supervisor is changed by the reassignment of the employee or the super-

visor. When the supervisor is reassigned and has numerous reassignment reports to prepare he needs to complete only Section B of the report.

SECRET  
(When Filled In)

FITNESS REPORT				EMPLOYEE SERIAL NUMBER	
<b>SECTION A GENERAL</b>					
1. NAME (Last) (First) (Middle)			2. DATE OF BIRTH	3. SEX	4. GRADE 5. SD
6. OFFICIAL POSITION TITLE			7. OFF/DIV/BR OF ASSIGNMENT		8. CURRENT STATION
9. CHECK (X) TYPE OF APPOINTMENT			10. CHECK (X) TYPE OF REPORT		
<input type="checkbox"/> CAREER <input type="checkbox"/> RESERVE <input type="checkbox"/> TEMPORARY <input type="checkbox"/> CAREER-PROVISIONAL (See Instructions - Section C) <input type="checkbox"/> SPECIAL (Specify):			<input type="checkbox"/> INITIAL <input type="checkbox"/> REASSIGNMENT SUPERVISOR <input type="checkbox"/> ANNUAL <input type="checkbox"/> REASSIGNMENT EMPLOYEE <input type="checkbox"/> SPECIAL (Specify):		
11. DATE REPORT DUE IN O.P.			12. REPORTING PERIOD (From - to)		
<b>SECTION B PERFORMANCE EVALUATION</b>					
<p>W - <u>Weak</u> Performance ranges from wholly inadequate to slightly less than satisfactory. A rating in this category requires positive remedial action. The nature of the action could range from counseling, to further training, to placing on probation, to reassignment or to separation. Describe action taken or proposed in Section C.</p> <p>A - <u>Adequate</u> Performance meets all requirements. It is entirely satisfactory and is characterized neither by deficiency nor excellence.</p> <p>P - <u>Proficient</u> Performance is more than satisfactory. Desired results are being produced in a proficient manner.</p> <p>S - <u>Strong</u> Performance is characterized by exceptional proficiency.</p> <p>O - <u>Outstanding</u> Performance is so exceptional in relation to requirements of the work and in comparison to the performance of others doing similar work as to warrant special recognition.</p>					
<b>SPECIFIC DUTIES</b>					
List up to six of the most important specific duties performed during the rating period. Insert rating letter which best describes the manner in which employee performs EACH specific duty. Consider ONLY effectiveness in performance of that duty. All employees with supervisory responsibilities MUST be rated on their ability to supervise (indicate number of employees supervised).					
SPECIFIC DUTY NO. 1					RATING LETTER
SPECIFIC DUTY NO. 2					RATING LETTER
SPECIFIC DUTY NO. 3					RATING LETTER
SPECIFIC DUTY NO. 4					RATING LETTER
SPECIFIC DUTY NO. 5					RATING LETTER
SPECIFIC DUTY NO. 6					RATING LETTER
<b>OVERALL PERFORMANCE IN CURRENT POSITION</b>					
Take into account everything about the employee which influences his effectiveness in his current position such as performance of specific duties, productivity, conduct on job, cooperativeness, pertinent personal traits or habits, and particular limitations or talents. Based on your knowledge of employee's overall performance during the rating period, place the letter in the rating box corresponding to the statement which most accurately reflects his level of performance.					RATING LETTER

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SECTION C

NARRATIVE COMMENTS

Indicate significant strengths or weaknesses demonstrated in current position keeping in proper perspective their relationship to overall performance. State suggestions made for improvement of work performance. Give recommendations for training. Comment on foreign language competence, if required for current position. Amplify or explain ratings given in Section B to provide basis for determining future personnel action. Manner of performance of managerial or supervisory duties must be described, if applicable.

SECTION D

CERTIFICATION AND COMMENTS

1.

BY EMPLOYEE

I CERTIFY THAT I HAVE SEEN SECTIONS A, B, AND C OF THIS REPORT

DATE

SIGNATURE OF EMPLOYEE

2.

BY SUPERVISOR

MONTHS EMPLOYEE HAS BEEN UNDER MY SUPERVISION

IF THIS REPORT HAS NOT BEEN SHOWN TO EMPLOYEE, GIVE EXPLANATION

DATE

OFFICIAL TITLE OF SUPERVISOR

TYPED OR PRINTED NAME AND SIGNATURE

3.

BY REVIEWING OFFICIAL

COMMENTS OF REVIEWING OFFICIAL

REGULATIONS  
CONTROL STAFF

JUN 6 1 51 PM '92

DATE

OFFICIAL TITLE OF REVIEWING OFFICIAL

TYPED OR PRINTED NAME AND SIGNATURE

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SECRET

Appendix G

Documents on Review of Fitness Report System

Memorandum for the Record, 17 February 1969

Memorandum for Executive Director-Comptroller, 22 November 1968

- Tab A - DD/P Proposal for Revised Fitness Reporting System
- Tab B - Comments of the Deputy Directors and the Inspector General
- Tab C - The DD/I Counter Proposal
- Tab D - Professional Manpower Committee Ratings.
- Tab E - Rating Distribution by Career Service
- Tab F - Fitness Report Form and Instructions

17 FEB 1969

## MEMORANDUM FOR THE RECORD

SUBJECT: Meeting with Executive Director-Comptroller on 13 February 1969

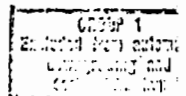
1. Present were Messrs. Karamessines, Duckett, Bannerman, Proctor, Houston, Stewart, and the undersigned.

2. The subject of review was the Agency's Fitness Report system--a proposal by the Deputy Director for Plans, comments about that proposal by the other Deputy Directors, and a memorandum by the Director of Personnel reviewing and commenting on the total package. At the request of Colonel White, I briefly reviewed the essential items for discussion as reflected in my 22 November memorandum, i.e., that the substance of most of the proposals could be accomplished by command within the authorities resting with the Deputies, that we proposed a redefinition of "Adequate," and that the Deputy Director for Intelligence's proposal for evaluation of potential be deferred for consideration within the succession proposal presented at the last meeting.

3. It was soon apparent that there was general consensus that the two lowest terms, "Adequate" and "Weak," should be renamed and redefined with "Marginal" replacing "Adequate" and "Unsatisfactory" replacing "Weak." The second proposal of our paper, discussed in paragraph 7b, was endorsed--particularly that the reviewing officer must make a positive comment and that a mere signature would not be acceptable. It was agreed that formal instruction on fitness reporting should be made a part of the Agency supervisory training courses, and Mr. Proctor urged, with the support of the others, that the training include what is really expected of a supervisor or rating officer: frankness, forthrightness, objectivity, etc.

4. In a memorandum to the Director of Personnel dated 6 February, the Inspector General had proposed consideration of a procedure by which all Fitness Reports more than five years of age would be removed from the Official Personnel File, though retained by the Office of Personnel, in order to free employees of the burden of the occasional poor report which dogs their footsteps forever thereafter. There was considerable exchange and unresolved differences of point of view; alternative proposals were offered. Mr. Duckett proposed, and it was agreed, that any weakness noted in a prior year's Fitness Report must be commented on in the subsequent Fitness Report.

5. The discussion then turned to the use of the Memorandum in Lieu of the regular Fitness Report form, and it was agreed that instructions should be revised to state that a Memorandum in Lieu of the Fitness Report form will be used less frequently than it is now, only when clearly established that a memorandum is more appropriate and not used merely to avoid specificity.

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EYES ONLY

SECRET  
EYES ONLY

6. The Office of Personnel is charged with the preparation of a staff paper proposing the various changes in terms, definitions, standards and procedures. That paper will be circulated among those present and when cleared will be offered for publication.

7. At the request of Mr. Karamessines, the handling of the meeting with the college editors on Friday, 14 February was discussed and agreed upon.

Yeh Robert S.  
Robert S. Wattles  
Director of Personnel

Distribution:

O&1 - ExDir-Compt  
1 - DD/I  
1 - DD/P  
1 - DD/S&T  
1 - DD/S  
1 - General Counsel  
1 - IG  
1 - D/Pers (Policy File)  
1 - D/Pers Chrono

OD/Pers/RSWattles:mtw (14 Feb 69)

SECRET  
EYES ONLY

SECRET

22 NOV 1968

Executive Registry

68-5450

MEMORANDUM FOR: Executive Director-Comptroller

THROUGH : Deputy Director for Support

SUBJECT : Proposed Revised Fitness Reporting System

REFERENCES : (a) Memo dtd 20 June 68 fr DD/S to D/Pers; same subj

(b) Memo dtd 13 Mar 68 fr D/Pers to Ex Dir-Compt; same subj

1. This memorandum submits recommendations for your approval; these recommendations are contained in paragraph 7.

2. Comments have now been received from all the Deputies and the Inspector General on the Deputy Director for Plans' proposal (Tab A) to revise the Fitness Report System. Summarized at Tab B, these comments show a definite reaction against the proposed changes with particularly strong objections registered against the change to a three-grade scale (Outstanding, Satisfactory, and Unsatisfactory), instead of the present five-grade scale for rating overall performance. The Deputy Director for Intelligence has submitted a counter proposal (Tab C) to divide the Fitness Report into two parts, leaving the present report essentially unchanged as a performance rating report with the second part containing an appraisal of those factors necessary for career management such as potential, intellectual and social talents, creativity and the like. This portion would not be shown to the individual.

3. My conclusion is that most of the changes to our Fitness Report System proposed by the DD/P are desirable except for the proposed change in rating scale, and with this exception, can be accomplished within the present format. I would reject the proposed change to the rating scale for a number of reasons.

a. The Agency's need is for more rather than fewer quality groupings. The difficulties at the career board level in ranking people is one example of this need.

b. The Professional Manpower Committee used a seven-point scale in evaluating approximately 1,700 young professionals in their study. Evidently they felt the need for more rather than fewer grading levels and the results are rather interesting as can be seen at Tab D. The Committee achieved a more desirable and useful distribution curve and one which drastically reduced the clustering of people at the "Strong" level.

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GROUP 1  
Excluded from automatic  
downgrading and  
declassification

SECRET

c. The vote of the other Deputies and the Inspector General is overwhelmingly against this change to the present five-point scale.

4. Other recommendations should be implemented and can be accomplished within the present system.

a. It would be very desirable to improve the role of the reviewing officer, as suggested in the DD/P proposal. The reviewing official might be required to include a brief evaluation of performance, potential, and future utilization. He can play a stronger part in resolving critical differences of opinion between the individual and the rater and between the rater and himself, particularly if the ratings are adversely critical. The ranking by the reviewing official as suggested in the DD/P proposal might be more difficult particularly in cases where the reviewing official has a limited number of people in a given grade.

b. The DD/P proposal that there be a performance consultation at least once a year as a separate transaction with certification that such a consultation has been held would seem to be an in-house practice which could be instituted by the Deputies within current Agency policy if they cared to do so.

c. The proposal to combine the revised rating scale with a descriptive rating of duties need not stand or fall on the adoption of the revised rating scale. My thought here is that the DD/P could adopt this recommendation on the basis of the present rating scale as an "in-house" requirement.

5. While the proposal for follow-up action on an overall rating of "Unsatisfactory" is no different to the present instructions for the rating of "Weak," the low usage rate in the present system for both the "Adequate" and "Weak" ratings reflects more on our supervisory practices than on the format. (Tab E) Nevertheless, the DD/P has a point to make when he says in his recommendation for a three-point scale that, "we would no longer have to struggle with the meaning of the marginal 'Adequate' in connection with initiating an adverse action." Furthermore, he is absolutely correct in stating that the present rating of Adequate does not provide a definable or defensible basis for taking adverse action; the definition of Adequate being, "performance meets all requirements. It is entirely satisfactory and is characterized neither by deficiency nor excellence." (Tab F) It seems to me that our scale is at fault in that it drops off too abruptly from Adequate which is an entirely satisfactory rating to Weak which is an unsatisfactory rating. I would propose to meet this valid criticism by redefining the Adequate rating to provide a better gradation in our present five-point scale even though this action may have some "after the fact" implications.

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6. The proposal to recognize an "Outstanding" rating in a positive manner by a Merit Award or Quality Step Increase, when combined with the proposed three-point scale, would accentuate the clustering of ratings to an even greater degree than at present with the result that just about everybody would be graded in the middle satisfactory grouping. However, the concept has merit with the present scale if left on a discretionary basis.

7. In summary, it appears to me that the DD/P proposal makes two solid points; namely, the indefinite role of the reviewing official and the deficiency of the gradations in the low end of the scale. I believe that the improvements that the DD/P seeks can be accomplished within the present format of our Fitness Report System without losing the continuity and understanding we now enjoy. Accordingly, it is proposed:

a. The present five-point rating scale be continued but that the rating of Adequate be redefined as follows,

"Performance meets most requirements. It is characterized neither by serious deficiency <sup>nor</sup> excellence."

b. The role of the reviewing official be clarified by a change to the present Instructions whereby he would be responsible for narrative comment on potential and utilization and would be expected to comment on the liberality or the strictness of the rater where possible; and by a change to our Regulations by which the reviewing official would be responsible for resolving critical differences of opinion between the individual and the rater, particularly if the ratings are adversely critical.

c. That a formal period of instruction on Fitness Report responsibilities be made part of the supervision and management courses to the end that the fitness report serve the management reporting as well as the employee relations function.

d. That the DD/I proposal for a two-part report be deferred for the moment until the full implications of the study on Managing the Succession Problem be realized, since this study includes a similar proposal.

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Robert S. Wattles  
Director of Personnel

Atts

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The recommendations contained in paragraph 7 are approved.

L. K. White  
Executive Director-Comptroller

Date

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ATT

TAB A

## S-E-C-R-E-T

Proposal for a Revised Fitness Reporting System1. Background:

a. During the last twenty years the Agency, the Federal Government, and private industry have experimented with a great number of Fitness Report Forms and Systems. Much effort has been expended in analyzing the results achieved by existing systems, and attempting to correct weaknesses through the development of "improved" systems and procedures. Few tangible improvements have been realized, but there is a general and almost universal conclusion that Fitness Reporting must be continued for personnel management purposes, even though a truly satisfactory system has not emerged.

b. Within the Agency, Fitness Reports have been used to rate employee performance, personal traits, and potential by the use of: (a) Adjective or numerical ratings, and (b) narrative evaluatory statements. General agreement exists that evaluatory statements have been more significant and have served better than adjective or numerical ratings in providing a picture of the individual and his manner of performance.

2. Evaluation of Current Fitness Reporting System:

a. Adjective Ratings: The current system uses five adjective ratings: Weak, Adequate, Proficient, Strong, and Outstanding, to appraise the performance of specific duties and overall performance. In practice, however, only three of the ratings are generally used: Proficient, Strong and Outstanding. The trend has been to use more of the higher ratings each year.

CS Career Service Fitness Reporting of Overall Performance

	<u>CS-9, 10, 11</u>		<u>CS-12-13</u>		<u>CS-14 &amp; Above</u>
	<u>1962</u>	<u>1967</u>	<u>1962</u>	<u>1967</u>	<u>1967</u>
Weak	1%	0.1%	0.4%	0.1%	0.1%
Adequate	7%	2.0%	4.7%	0.5%	0.6%
Proficient	45%	23.0%	35.5%	18.7%	9.8%
Strong	42%	69.0%	55.9%	76.1%	71.8%
Outstanding	5%	6.0%	3.5%	4.6%	17.7%

S-E-C-R-E-T

The foregoing indicates the increasing upward trend in the use of high ratings and the loss of significance of the five rating scale. Almost 90% of our GS-14 and above personnel are rated as performing above average (Proficient). At the same time, Adequate and Weak ratings have tended not only to fall into disuse but also to become substantially indistinguishable. In practice, a rating of "Adequate" does not provide a definable or defensible basis for taking adverse actions.

b. Narrative Ratings: The current Fitness Reporting system provides a narrative evaluation of total performance. Many raters provide a descriptive and meaningful evaluation which is useful for personnel management purposes; other narrative evaluations consist of generalizations and platitudes and do not evaluate in specific terms characteristics of the individual or his performance. Improved guidelines to structure the narrative content of the evaluation should provide more useful and consistent reports.

3. Suggested Revision of the Fitness Reporting System and Fitness Report Form:

a. Characteristics:

(1). Rating Scale:

Unsatisfactory: Less than satisfactory performance. Does not meet performance requirements for the duty or the position.

Satisfactory: Performance is characterized by effectiveness in meeting duty and job requirements.

Outstanding: Performance is so exceptional in relation to requirements of the work and in comparison to performance of others doing similar work as to warrant special recognition.

(2). Rating of Specific Duties: It is believed that only significant duties should be recorded and rated. We propose to combine the revised rating scale with a descriptive rating of each duty in order to provide a more useful evaluation.

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S-E-C-R-E-T

- (3). Rating of Overall Performance: In making the overall performance rating, the rater will consider all factors affecting performance, including personal traits, skills, conduct, and any limitations which may apply. He will include a narrative evaluation to explain the basis for the rating and to give a general picture of where the individual stands in relation to others rated in the same group. In addition, the rater will comment on potential, suggest assignments and training needs, and outline personal traits of significance.
- (4). Evaluation by Reviewing Official: The Reviewing Officer will include a brief evaluation of performance, potential and future utilization of the individual rated. Whenever possible, he should indicate the relative ranking of the individual with others in the same grade and type of work. The reviewing officer will be responsible for assuring that the raters under his supervision adhere to realistic standards and undertake and follow through on necessary corrective actions. The reviewing official will be responsible also for resolving any critical differences of opinion between the individual and the rater, particularly if the ratings are adversely critical. If major differences cannot be adequately resolved by the component, they will be referred through command channels to the Career Service concerned for review.

b. Action Required on the Basis of Fitness Report Ratings:

Unsatisfactory Rating: A rating of unsatisfactory on any duty will require positive action to train or assist the individual to improve his performance of the work or will result in his assignment to other work. An overall rating of unsatisfactory will require corrective action without delay such as warning or probation, reassignment or special training. In extreme cases, separation may follow.

Outstanding Rating: A rating of outstanding on overall performance should be followed by special recognition as appropriate, including commendation, merit award, recommendation for promotion or quality step increase, or consideration for reassignment to more responsible work.

S-E-C-R-E-T

- c. Performance Consultation: At least once a year, the supervisor will have a performance consultation with the employee being rated. This consultation may take place at the time the Fitness Report is being prepared or at some previous time as circumstances warrant. When an employee is given an unsatisfactory rating, a report of the performance consultation will be made and forwarded as an "Eyes Only" memorandum through normal command channels to the Secretary of the Career Service Board concerned. Such a performance consultation report in no way relieves the supervisor from commenting on an employee's failings or weaknesses in the regular Fitness Report. The certification that a performance consultation has been held on a specific date will appear on the Fitness Report form and will be signed by the supervisor.
- 4. Summary of Advantages of Proposed Fitness Report System:
  - a. Each adjective rating will be more meaningful when combined with the narrative description or explanation. A descriptive rating of each element of performance (duties) as well as overall performance will be obtained. This emphasis on narrative evaluation will provide more useful information for personnel management purposes.
  - b. Two of the three ratings, Unsatisfactory and Outstanding, will require that special action follows. We will not have to struggle with the meaning of the marginal "adequate" rating in connection with initiating an adverse action.
  - c. The Report of Performance Consultation will be useful to supplement the Fitness Report when an unsatisfactory rating is involved to provide evaluatory material pertinent to the corrective action being recommended.
  - d. The tendency to rate all individuals "above average" will be minimized.

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S-E-C-R-E-T

- e. The stronger role of the reviewing officer in achieving realistic and meaningful reports and in resolving differences between the individual and the rater will improve reporting and morale.

5. Revised Fitness Report Forms: Samples of the proposed revised Fitness Report Form are attached.

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S-E-C-R-E-T

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Approved For Release 2000/06/01 : CIA-RDP90-00708R000200100001-6

Next 1 Page(s) In Document Exempt

Approved For Release 2000/06/01 : CIA-RDP90-00708R000200100001-6



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(When Filled In)

FITNESS REPORT				EMPLOYEE SERIAL NUMBER	
<b>SECTION A GENERAL</b>					
1. NAME (Last) (First) (Middle)			2. DATE OF BIRTH	3. SEX	4. GRADE 5. SD
6. OFFICIAL POSITION TITLE			7. OFF/DIV/BR OF ASSIGNMENT		8. CURRENT STATION
9. CHECK (X) TYPE OF APPOINTMENT			10. CHECK (X) TYPE OF REPORT		
<input type="checkbox"/> CAREER <input type="checkbox"/> RESERVE <input type="checkbox"/> TEMPORARY			<input type="checkbox"/> INITIAL <input type="checkbox"/> REASSIGNMENT SUPERVISOR		
<input type="checkbox"/> CAREER-PROVISIONAL (See Instructions - Section C)			<input type="checkbox"/> ANNUAL <input type="checkbox"/> REASSIGNMENT EMPLOYEE		
<input type="checkbox"/> SPECIAL (Specify):			<input type="checkbox"/> SPECIAL (Specify):		
11. DATE REPORT DUE IN O.P.			12. REPORTING PERIOD (From - to)		
<b>SECTION B PERFORMANCE EVALUATION</b>					
<b>1. EVALUATION OF PERFORMANCE OF SPECIFIC DUTIES</b>					
LIST IN ORDER OF IMPORTANCE NOT MORE THAN THE FOUR MOST SIGNIFICANT DUTIES PERFORMED DURING THE RATING PERIOD. RATE PROFICIENCY OF PERFORMANCE OF EACH DUTY BY ASSIGNING THE SYMBOL APPROPRIATE FOR THE ADJECTIVE RATING AND DESCRIBING IN NARRATIVE FORM THE MANNER IN WHICH THE DUTY WAS PERFORMED.					
U - UNSATISFACTORY                      S - SATISFACTORY                      O - OUTSTANDING					
SPECIFIC DUTIES		NARRATIVE COMMENT			RATING
1.					
2.					
3.					
4.					
<b>2. OVERALL PERFORMANCE IN CURRENT POSITION</b>					<b>RATING:</b>
TAKE INTO ACCOUNT EVERYTHING ABOUT THE EMPLOYEE WHICH INFLUENCES HIS EFFECTIVENESS SUCH AS PERFORMANCE OF SPECIFIC DUTIES, PRODUCTIVITY, CONDUCT ON JOB, COOPERATIVENESS, PERTINENT PERSONAL TRAITS OR HABITS AND PARTICULAR LIMITATIONS OR TALENTS.					

(WHEN FILLED IN)

3.

## NARRATIVE COMMENTS ON OVERALL PERFORMANCE

EXPLAIN BASIS FOR RATING, INCLUDING AN INDICATION, WHERE FEASIBLE, OF HOW THE EMPLOYEE'S RATES IN RELATION TO WORKING WITH THE RATING BODY. GIVE SUGGESTIONS FOR TRAINING, DEVELOPMENT AND UTILIZATION. OBSERVATIONS ON THE FOLLOWING CHARACTERISTICS OF THE EMPLOYEE ARE PARTICULARLY DESIRED: MENTAL CAPACITY, ENERGY, SKILL, PERSONALITY AND DEDICATION TO JOB. COMMENT ON GENERAL KNOWLEDGE, SKILLS AND COST CONSCIOUSNESS, AS APPLICABLE.

SECTION C			CERTIFICATION AND COMMENTS		
1. BY EMPLOYEE					
I CERTIFY THAT I HAVE SEEN SECTIONS A, B, AND C OF THIS REPORT					
DATE		SIGNATURE OF EMPLOYEE			
2. BY SUPERVISOR					
MONTHS UNDER MY SUPERVISION		IF THIS REPORT HAS NOT BEEN SHOWN TO EMPLOYEE, GIVE EXPLANATION			DATE PERFORMANCE CONSULTATION HELD
DATE		OFFICIAL TITLE OF SUPERVISOR		TYPED OR PRINTED NAME AND SIGNATURE	
3. BY REVIEWING OFFICIAL					
DATE		OFFICIAL TITLE OF REVIEWING OFFICIAL		TYPED OR PRINTED NAME AND SIGNATURE	

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XERO

XERO

XERO

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Comments of the Deputy Directors and the Inspector General

Recommendation: That a three-point scale (Outstanding, Satisfactory, and Unsatisfactory) instead of the present five-point scale (Outstanding, Superior, Proficient, Adequate, Weak.)

Comments:

DD/I: "Rather than eliminate what could be useful distinctions, I would prefer to see greater adherence to the philosophy and directions on the present rating system as expressed in the Fitness Report Guide."

DD/S&T: "I see no significant result accruing from the reduction of the present five-point adjectival scale of the Fitness Report to three. Indeed, one might ask why not reduce it to two. I would anticipate that a three-point scale would simply result in the addition of pluses and minuses and, therefore, to a proliferation of categories beyond the five which now are used."

Inspector Gen: "I would be particularly sorry to see the three level rating scale introduced. The sorting out of the middle group, which is now accomplished by dividing them between the Strong and the Proficient, seems to me to be an entirely worthwhile exercise."

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Recommendation: That the reviewing officer include a brief evaluation of performance potential and future utilization of the individual indicating relative rankings whenever possible and resolving any critical differences of opinion between the individual and the rater, particularly if the ratings are adversely critical.

Comments:

DD/I: "DD/P's proposal to increase the role of the reviewing official has two parts. I concur with the part which deals with resolving critical differences of opinion between the individual and the rater with further recourse to the Career Service. I do not, however, concur with the proposal that the reviewer 'indicate the relative ranking of the individual with others in the same grade and type of work.' I believe that such ranking should be the task of the Career Service Board concerned rather than a single reviewing official with so much more limited basis for comparison."

Inspector Gen: "The reviewing officer should make a basic evaluation of the rating officer (if able by previous association). For example, 'I have known the rater for several years and, while an excellent rating officer, he tends to rate all subordinates a little high (low, etc.).'"

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Recommendation: That there be a performance consultation at least once a year as a separate transaction with certification that such a consultation has been held on a specific date to appear on a Fitness Report Form.

Comments:

DD/I: "The need to formalize a requirement that a supervisor consult with his subordinate about performance annually appears to be a sad commentary on the Agency's supervisory skills. Consultation should be a continuous process; no supervisor should save up his criticism and guidance over a year's period for presentation to his subordinate at the time of an annual Fitness Report or mandatory performance consultation. Although the topic of employee supervision is more fundamental than the Fitness Report, it appears that we have been attempting to overcome the shortcomings of supervision by improvements in the Fitness Report form itself."

Inspector Gen: "If, as a part of this system, employee consultation is performed, then it should be recorded on the Fitness Report form."

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Recommendation: To combine the revised rating scale with a descriptive rating of each duty in order to make the adjective rating more meaningful.

Comments:

DD/I: "I doubt that this proposal will be any more successful than our present system in providing more useful information for personnel management purposes."

DD/S&T: "I would hesitate to lengthen the time of preparation by combining the adjective rating of each duty with a narrative."

Inspector Gen: "There should be no more than two 'specific duty' boxes. The employee should be rated on his assigned duty and secondary 'principal' assignments. Beyond that, again, miscellaneous functions could be covered in the narrative."

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Recommendation: That follow-up action on unsatisfactory ratings include a warning or probation on an overall rating of unsatisfactory and conversely an outstanding rating be recognized in a specific way such as Merit Award or Quality Increase.

Comment:

DD/S&T: "We need a technique which combines to facilitate the expression of dissatisfaction with corrective action. An example might be the tying of required action to use of the 'adequate' category. To my thinking an employee performing at the 'adequate' level should be easily replaceable with resulting improvement. I would favor the idea that a rating of 'adequate' mean the start of a probationary year in which improvement is necessary if the individual is to continue in that job. Then if the 'adequate' rating is repeated at the end of the next reporting period...the individual would be shifted to another position...or if the individual did not wish to shift, it would be understood that he could remain but with a reduction in grade. I would not argue the semantics of using 'adequate' for this action category, but I do feel that some such category be used which is higher on the scale than 'weak' and yet indicates that the organization does not intend to continue the individual indefinitely on such a marginal basis at his present pay scale. The value of such a scheme lies in the automaticity of eventual action on the specific problem combined with the postponement of action pending mutual efforts of both the rated individual and his supervisor to effect an improvement."

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General Comments:

DD/I: "In sum, I do not believe that the DDP proposal for changing the Fitness Report is likely to provide significantly better management information than the present system. The problem, however, is much more fundamental than one of Fitness Reports; it is the problem of having supervisors fulfilling their responsibilities on a continuing basis. Trying to force a solution to this problem through changes in the Fitness Report form is attacking the symptom rather than the basic cause."

DD/S&T: "We have spent much time in recent months discussing many aspects of Agency personnel management. Judging by these discussions a key problem is how to keep raising the caliber of the Agency's personnel assets. Raising the caliber means weeding out those individuals who are not performing at a proficient level or placing them in positions where they will perform proficiently. I do not think that the format of the fitness report is the correct focal point for an attack against this problem. Indeed, I find no fault with the format itself...I find that shortcomings in the fitness report system stem from the process of rating rather than the format of the report."

Inspector Gen: "For my part I am against change simply because I believe it is easier to read a file in which fitness reports over the years follow the same format. I recognize the points made by the DDP as having considerable validity; however,

I feel that we should not change until a stronger case is made."

SECRET



DD/S 69-0570

07 FEB 1969

MEMORANDUM FOR: Director of Personnel

SUBJECT : Proposal for a Revised Fitness Reporting System

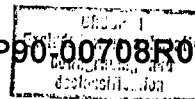
1. In reviewing the proposal of the Deputy Director for Plans to make changes in the Agency Fitness Report (Form 45), I believe the proposal in essence calls for:

- a. A reduction in the number of rating categories from five to three.
- b. A narrative evaluation of each specific duty listed in Section B of the present form.
- c. A narrative evaluation of overall performance by the rater.
- d. A narrative evaluation by the reviewing officer, and increased supervision by the reviewing officer of rating officers under his immediate supervision.
- e. Annual consultation with the employee.

2. I would like to comment on each of these points.

a. The fact that the lower two ("Adequate," "Weak") of the present five rating categories are not being used to the extent that the DD/P apparently feels they should be will not necessarily be corrected by reducing the categories to three -- "Unsatisfactory," "Satisfactory" and "Outstanding." The same factors that now result in supervisors rarely rating employees "Adequate" or "Weak" will pertain to "Unsatisfactory." Supervisors lacking the ability to distinguish between journeyman job performance and inadequate performance, or lacking the intestinal fortitude to sit down and tell an unsatisfactory employee the facts of his performance, will not acquire the ability to properly rate employees merely by changing the designation of rating categories. As a generalization supervisors hope to have the respect and liking of their fellow workers and to tell an employee that he doesn't measure up is found to be a very distasteful experience.

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-2-

The cure for the above must rest in training of supervisors, and command insistence and supervision to insure that fair ratings are given all employees by rating officials. Improper ratings are not only unfair to the unsatisfactory employee when his poor performance is not pointed out, but the strong performer is similarly downgraded by a supervisor who fails to distinguish adequately between strong and satisfactory performance.

b. The present Fitness Report form allows adequate space for comments on performance of duty, either specific duties or overall performance, and requests such comments in Section C. If a particular Component/Career Service should wish to have more specific comments, we see no reason why a command directive for more specific comments could not be fully satisfied on the present Fitness Report form.

c. The DD/P is seeking a more positive rating of overall performance; this objective is compatible with the present form. Again, a command directive for comments on specific traits or potential can be considered the prerogative of component chiefs or heads of Career Services. Most of the changes suggested involve matters that are already covered by many rating officers throughout the Agency when completing Section C of the present form.

d. All of the points suggested by the DD/P with respect to the evaluation by reviewing officials can be accommodated on the present Fitness Report form or by command supervision; the real problem may be as to how much personal knowledge the reviewing officer has of the ratee. Certainly one of our areas of difficulty with all Fitness Report forms that the Agency has used has been the failure of raters to adhere to realistic standards so that ratings given by different rating officers may be realistically compared. This brings up the old problem of "rating the raters;" some supervisors are by nature "tougher" than others. Command monitoring of Fitness Reports may yet be able to correct the more obvious cases of abnormal rating standards.

e. The proposal for an annual consultation between supervisor and employee is, in my opinion, a necessary and integral aspect of supervision. While I believe that many supervisors do hold such consultations at the time that the Fitness Report is shown to the employee, I see no difficulty in adopting a more positive and definitive policy in this respect. I agree that the fact of such consultation should be recorded.

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-3-

3. Fitness Reports remain a source of continued complaint throughout Government, and their proposed revisions provide steady employment for personnel technicians and psychologists. The Agency has also shared in this revision exercise. The present form has been in use for some nine years, and it has taken us all of those nine years to indoctrinate personnel -- those rated and the raters -- in its use. I do not believe that the proposed revisions are such that a new form, and several years of becoming used to it, are required. I would suggest as an alternative the continued use of the present Fitness Report form, with specific command guidance within each Career Service, if necessary, as to special requirements which are to be fulfilled by rating and reviewing officials. It goes without saying that improvement in rating objectivity and candor must be continuing goals throughout the chain of command. Where agreement exists as to specific instructions that should be altered or added, I would further recommend that these changes be made in the "Directions for Completing Form 45, Fitness Report."

25X1A

R. L. Bannerman  
Deputy Director  
for Support

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The DD/I Counter Proposal

"It seems to me that the primary purpose of providing management information often can be in conflict with the objective of informing the individual. Frequently, this conflict is resolved by the supervisor writing a bland, uncritical Fitness Report. Most of us who review personnel folders have learned to recognize this and form judgments about performance not so much from what is stated explicitly but more from what is implied by contrived language or from what is omitted from the Report. These considerations lead me to the conclusion that the basic problem with the current Fitness Report System will not be remedied by the DD/P proposal. What is needed is some means of providing management with the 'realistic,' 'meaningful,' 'thoughtful, unbiased assessment' called for in the Fitness Report Guide. I do not believe we can rely on supervisors to provide such an evaluation if it must be shown to the employee. This leads to the suggestion that we should have two separate but consistent reports on each individual. The report shown to the employee would emphasize aspects directly related to performance in his current position; the other for management would cover the broader range of topics listed in the Guide--'his strengths and weaknesses, his training and development needs, his imagination and creative abilities, his supervisory skills, his writing and language facilities, his intellectual and social talents, and...other qualities, traits, and personal circumstances we need for proper management of his career.' As a result of this review, I recommend that we consider the following course of action:

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a. The Office of Personnel draft a two-part 'Fitness' Report and associated guidance for our consideration.

b. Either the Inspector General or the Offices of Personnel and Training study the problem of first-and second-line supervision, report to us on the major deficiencies in the supervisor-subordinate relationship, and recommend actions and training necessary to remedy these deficiencies.

c. In the interim, the present Fitness Report System not be changed in any fundamental way except strengthen the role of the reviewing official. Executive action should be taken at all levels to foster greater adherence to the philosophy and directions expressed in the [REDACTED]

25X1A

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PROFESSIONAL MANPOWER COMMITTEE

RATINGS OF OVER-ALL PERFORMANCE OF JUNIOR PROFESSIONAL OFFICERS

WHO ENTERED ON DUTY AT GRADES GS-07 THROUGH 12

DURING FISCAL YEARS 1963-1967

(Based on Evaluations Made by Immediate Supervisors)

	<u>DDI</u>	<u>DDP</u>	<u>DDS</u>	<u>DDS&amp;T</u>
Number of Junior Officers Rated				
A. OUTSTANDING	3.1%	.015%	5.8%	4.4%
B. Between OUTSTANDING and STRONG	15.4%	10.3%	13.7%	17.2%
C. STRONG	34.8%	33.1%	42.3%	35.5%
D. Between STRONG and PROFICIENT	26.2%	29.3%	22.7%	27.6%
E. PROFICIENT	16.6%	20.6%	14.4%	14.3%
F. ADEQUATE	3.7%	5.0%	0.7%	1.0%
G. WEAK	0.2%	0.022%	0.3%	0.0%
	100.0%	98.3%*	99.9%*	100.0%

25X9

\* Shortfall due to Rounding of Figures.

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Rating Distribution by Career Service

		<u>Outstanding</u>	<u>Strong</u>	<u>Proficient</u>	<u>Adequate</u>	<u>Weak</u>
25X9	DCI Group	23.4%	48.2%	24.3%	3.6%	.5%
25X9	DDP Group	7.2%	66.6%	24.7%	1.4%	0.1%
25X9	DDS Group	7.0%	63.5%	27.8%	1.6%	0.1%
25X9	DDI Group	6.7%	64.0%	27.8%	1.4%	0.1%
25X9	DDS&T Group	9.3%	60.4%	28.7%	1.6%	0.0%

OP/PRS 4/68

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SECRET

SECRET  
(When Filled In)

TAB F

FITNESS REPORT				EMPLOYEE SERIAL NUMBER	
<b>SECTION A GENERAL</b>					
1. NAME (Last) (First) (Middle)			2. DATE OF BIRTH	3. SEX	4. GRADE 5. SD
6. OFFICIAL POSITION TITLE			7. OFF/DIV/BR OF ASSIGNMENT		8. CURRENT STATION
9. CHECK (X) TYPE OF APPOINTMENT			10. CHECK (X) TYPE OF REPORT		
<input type="checkbox"/> CAREER <input type="checkbox"/> RESERVE <input type="checkbox"/> TEMPORARY			<input type="checkbox"/> INITIAL <input type="checkbox"/> REASSIGNMENT SUPERVISOR		
CAREER-PROVISIONAL (See Instructions - Section C)			ANNUAL <input type="checkbox"/> REASSIGNMENT EMPLOYEE		
SPECIAL (Specify):			SPECIAL (Specify):		
11. DATE REPORT DUE IN O.P.			12. REPORTING PERIOD (From- to-)		
<b>SECTION B PERFORMANCE EVALUATION</b>					
<p>W - <u>Weak</u> Performance ranges from wholly inadequate to slightly less than satisfactory. A rating in this category requires positive remedial action. The nature of the action could range from counseling, to further training, to placing on probation, to reassignment or to separation. Describe action taken or proposed in Section C.</p> <p>A - <u>Adequate</u> Performance meets all requirements. It is entirely satisfactory and is characterized neither by deficiency nor excellence.</p> <p>P - <u>Proficient</u> Performance is more than satisfactory. Desired results are being produced in a proficient manner.</p> <p>S - <u>Strong</u> Performance is characterized by exceptional proficiency.</p> <p>O - <u>Outstanding</u> Performance is so exceptional in relation to requirements of the work and in comparison to the performance of others doing similar work as to warrant special recognition.</p>					
<b>SPECIFIC DUTIES</b>					
List up to six of the most important specific duties performed during the rating period. Insert rating letter which best describes the manner in which employee performs EACH specific duty. Consider ONLY effectiveness in performance of that duty. All employees with supervisory responsibilities MUST be rated on their ability to supervise (Indicate number of employees supervised).					RATING LETTER
SPECIFIC DUTY NO. 1					RATING LETTER
SPECIFIC DUTY NO. 2					RATING LETTER
SPECIFIC DUTY NO. 3					RATING LETTER
SPECIFIC DUTY NO. 4					RATING LETTER
SPECIFIC DUTY NO. 5					RATING LETTER
SPECIFIC DUTY NO. 6					RATING LETTER
<b>OVERALL PERFORMANCE IN CURRENT POSITION</b>					
Take into account everything about the employee which influences his effectiveness in his current position such as performance of specific duties, productivity, conduct on job, cooperativeness, pertinent personal traits or habits, and peculiar limitations or talents. Based on your knowledge of employee's overall performance during the rating period, place the letter in the rating box corresponding to the statement which most accurately reflects his level of performance.					RATING LETTER

Approved For Release 2000/06/01 : CIA-RDP90-00708R000200100001-6



# DIRECTIONS FOR COMPLETING FORM 45, FITNESS REPORT

## GENERAL

### 1. POLICY

It is Organization policy to inform employees of the effectiveness of their work performance. Organization policy also requires that supervisors record at least once each year their opinions and evaluations of the work performance of employees under their jurisdiction. Evaluations will also be made whenever it is necessary or desirable to provide Organization management with information which may be pertinent to future personnel actions affecting these individuals.

25X1A [REDACTED] outlines policies concerning the requirements for submitting initial, annual, reassignment and special reports, showing the report to the employee and appeals procedure. The Fitness Report, Form 45, is used to record evaluations. However, an evaluation in memorandum form may be substituted for Form 45 for employees in Grades GS-14 and above.

### 2. SUBMISSION

The Fitness Report will be submitted in duplicate to the Head of the Career Service concerned. The Head of the Career Service will retain one copy and will forward the original to the Office of Personnel.

### 3. INITIAL REPORT

A Fitness Report will be prepared for each employee as of nine months after his entrance on duty with the Organization. An initial report need not be made when a Fitness Report has already been made for some other purpose within 90 days prior to the due date of the initial report. The initial report is of particular importance in providing a record of the supervisor's evaluation of the employee before the employee has completed his twelve-month trial period. An initial report may be deferred for a period not to exceed 30 days beyond the due date to provide the supervisor with additional time to evaluate an employee who has been under his jurisdiction for less than 90 days.

### 4. ANNUAL REPORT

A Fitness Report will be prepared annually for each employee, except when a Fitness Report has been made for some other purpose within 90 days prior to the due date of the annual report. An annual report may be deferred until the employee has been under the jurisdiction of the supervisor for 90 days.

## SCHEDULE FOR SUBMISSION OF ANNUAL REPORTS

GRADES	FOR PERIOD ENDING	DUE IN OFFICE OF PERSONNEL	
		FROM HEADQUARTERS	FROM FIELD
GS-1 through GS-5	31 March	30 April	31 May
GS-6 through GS-8	30 June	31 July	31 August
GS-9 through GS-11	30 September	31 October	30 November
GS-12 and GS-13	31 December	31 January	28 February
GS-14 and above	31 March	30 April	31 May

### 5. REASSIGNMENT REPORT

Supervisors will prepare a Fitness Report when the supervisor is changed by the reassignment of the employee or the super-

visor. When the supervisor is reassigned and has numerous reassignment reports to prepare he needs to complete only Section B of the report.

## DIRECTIONS FOR COMPLETING FORM 45, FITNESS REPORT

### SECTION A — GENERAL

The items of this section should be completed by the appropriate administrative or personnel officer. Special instructions for completing or omitting items of this part of the report should be carefully observed on Field Transmittal — Fitness Report, Form 45a.

### SECTION B — EVALUATION OF PERFORMANCE OF SPECIFIC DUTIES AND OF OVERALL PERFORMANCE

#### Rating Scale

The rating scale as set forth in this section in Form 45, Fitness Report, is to be used to reflect evaluation of Specific Duties and of Overall Performance. In making your selection of the adjective evaluation for Section B and in completion of the narrative in Section C the following factors should be considered as appropriate:

Cost Consciousness	Mobility
Security Consciousness	Initiative
Ability to Think Clearly	Versatility
Supervisory Effectiveness	Productivity
Acceptance of Responsibility	Decisiveness
Foreign Language Competence	Resourcefulness
Effectiveness of Oral Expression	Cooperativeness
Effectiveness of Written Expression	Records Discipline

#### Rating of Performance of Specific Duties

In this section the supervisor will list in order of importance the most significant duties the employee has performed during the rating period. Each duty shall be described in sufficient detail to provide information which may be useful later in considering individuals for other assignments. Your evaluation should be recorded by entering the appropriate letter in the box provided for your evaluation of each duty.

#### Rating of Overall Performance in Current Position

In making this rating the supervisor should take into account the employee's conduct on the job as well as his performance on all specific duties. Each supervisor will weigh these factors in his own mind so as to arrive at a rating which will reflect an employee's overall value on the job.

### SECTION C — NARRATIVE COMMENTS

In this section the supervisor describes the employee's demonstrated abilities or deficiencies in the performance of his present job. This may include comments regarding a specific duty by direct reference to that duty. Any relatively high or low

ratings in Section B should be explained or amplified by supporting statements. In addition, the supervisor may comment here on any extenuating circumstances which affect the productivity and effectiveness of the employee. Comment should be made on the relative performance of the person being rated with other people known to the rater doing comparable work. In commenting on the manner of performance of managerial or supervisory responsibilities, abilities and skills in such as the following should be considered:

Delegation of responsibility  
Establishment and maintenance of clear lines of authority  
Use of personnel, space, equipment, funds, etc.  
Formulation and coordination of programs  
Developing teamwork

In completing the ratings on Career-Provisional employees comment should be made on the intent, capability and desire of the individual to fulfill the service obligations of the Career Service to which he is assigned.

### SECTION D — CERTIFICATION AND COMMENTS

The person being rated may attach to his fitness report a memorandum concerning any part of the report. The memorandum will be attached to the original for inclusion in the Official Personnel Folder.

Reviewing officials are responsible for assuring that all reports made by rating officials under their jurisdiction are consistent and reflect uniform standards of reporting. Through the counseling and supervision of rating officials, reviewing officials can play a major role in improving the operation of the Fitness Report program.

In addition, reviewing officials should as a matter of practice submit a brief narrative evaluation of the performance and potential of the individual being rated, noting the degree to which he is personally familiar with the individual and his work. Even though the reviewing official may not be able to evaluate the individual from firsthand experience with him, it is likely that the reviewing official may be able to contribute useful information concerning future utilization or training of the individual based on the review of his record of performance and assignments.

If the reviewing official is in substantial disagreement with the rating official he should state whether or not he has discussed the evaluation with the rating official and the employee.

When a person departs an overseas station without having been shown his Fitness Report, it is incumbent upon the Career Service to have the report shown to the individual.

Appendix H

25X1A

Changes in Fitness Reporting System, December 1969

[REDACTED] 3 December 1969

25X1A

[REDACTED] rev., 30 October 1969

[REDACTED] rev., 30 October 1969

This Notice Expires 1 December 1970

25X1A

PERSONNEL

3 December 1969

### CHANGES IN FITNESS REPORTING SYSTEM

1. The Deputy Directors have jointly determined to make certain changes in our fitness reporting system. These changes, described below, are designed to clarify the meaning of the ratings and to strengthen the role of the reviewing official in the evaluation process.

a. The rating scale is relabeled and redefined as follows:

- U - Unsatisfactory Performance is unacceptable. A rating in this category requires immediate and positive remedial action. The nature of the action could range from counseling to further training, to placing on probation, to reassignment, or to separation. Action taken or proposed is to be described in Section C of Form 45.
- M - Marginal Performance is deficient in some aspects. The reasons for assigning this rating should be stated in Section C and remedial actions taken or recommended should be described.
- P - Proficient Performance is satisfactory. Desired results are being produced in the manner expected.
- S - Strong Performance is characterized by exceptional proficiency.
- O - Outstanding Performance is so exceptional in relation to requirements of the work and in comparison to the performance of others doing similar work as to warrant special recognition.

b. Directions for Completing Form 45, Fitness Report, are revised. In addition to requiring closer communication between

PERSONNEL

3 December 1969

25X1A

rater and individual in cases where poor performance or weaknesses are being described, the revised instructions call for reviewing officials to provide positive comment on the performance and potential of the individual and, where appropriate, to comment on the liberality or strictness of the rater. Follow-up action on the marginal and unsatisfactory ratings is made a reviewing official's responsibility.

2. Headquarters and Field Regulations on fitness reporting have been modified to permit the use of evaluations in memorandum form for employees in grades GS-14 and above only when it is clearly established that such a substitute is appropriate and not merely a means of avoiding the specifics required by the form.

3. Changes are effective immediately.

FOR THE DIRECTOR OF CENTRAL INTELLIGENCE:

R. L. BANNERMAN  
Deputy Director  
for Support

DISTRIBUTION: ALL EMPLOYEES

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Next 1 Page(s) In Document Exempt

Approved For Release 2000/06/01 : CIA-RDP90-00708R000200100001-6

## DIRECTIONS FOR COMPLETING FORM 45, FITNESS REPORT

## GENERAL

## 1. POLICY

It is Organization policy to inform employees of the effectiveness of their work performance. Organization policy also requires that supervisors record at least once each year their opinions and evaluations of the work performance of employees under their jurisdiction. Evaluations will also be made whenever it is necessary or desirable to provide Organization management with information which may be pertinent to future personnel actions affecting these individuals.

25X1A outlines policies concerning the requirements for submitting initial, annual, reassignment and special reports, showing the report to the employee and appeals procedure. The Fitness Report, Form 45, is used to record evaluations. However, an evaluation in memorandum form may be substituted for Form 45 for employees in Grade GS-14 and above. Care must be taken to insure that the memorandum observes the basic purposes of a Fitness Report. It must contain the identifying information required in Section A of Form 45, a general description of the duties performed, and ONE rating, from among those defined in Section B of Form 45, to describe the employee's overall performance in his current position. It must also bear the signature of the supervisor and the reviewing official and must either be signed by the employee or contain an explanation for the absence of his signature.

## 2. SUBMISSION

The Fitness Report will be submitted in duplicate to the Head of the Career Service concerned. The Head of the Career Service will retain one copy and will forward the original to the Office of Personnel.

## 3. INITIAL REPORT

A Fitness Report will be prepared for each employee as of nine months after his entrance on duty with the Organization. An initial report need not be made when a Fitness Report has already been made for some other purpose within 90 days prior to the due date of the initial report. The initial report is of particular importance in providing a record of the supervisor's evaluation of the employee before the employee has completed his twelve-month trial period. An initial report may be deferred for a period not to exceed 30 days beyond the due date to provide the supervisor with additional time to evaluate an employee who has been under his jurisdiction for less than 90 days.

## 4. ANNUAL REPORT

A Fitness Report will be prepared annually for each employee, except when a Fitness Report has been made for some other purpose within 90 days prior to the due date of the annual report. An annual report may be deferred until the employee has been under the jurisdiction of the supervisor for 90 days.

## SCHEDULE FOR SUBMISSION OF ANNUAL REPORTS

## DUE IN OFFICE OF PERSONNEL

GRADES	FOR PERIOD ENDING	FROM HEADQUARTERS	FROM FIELD
GS-1 through GS-5	31 March	30 April	31 May
GS-6 through GS-8	30 June	31 July	31 August
GS-9 through GS-11	30 September	31 October	30 November
GS-12 and GS-13	31 December	31 January	28 February
GS-14 and above	31 March	30 April	31 May

## 5. REASSIGNMENT REPORT

Supervisors will prepare a Fitness Report when the supervisor is changed by the reassignment of the employee or the super-

visor. When the supervisor is reassigned and has numerous reassignment reports to prepare he needs to complete only Sections B and D of the report.

Form 7-69

45

Obsolete Previous Edition

Approved For Release 2000/06/01 : CIA-RDP90-00708R000200100001-6

(4-21)

SECRET

# FITNESS REPORT

EMPLOYEE SERIAL NUMBER

## SECTION A

## GENERAL

1. NAME (Last) (First) (Middle)			2. DATE OF BIRTH	3. SEX	4. GRADE	5. SD
6. OFFICIAL POSITION TITLE			7. OFF/DIV/BR OF ASSIGNMENT		8. CURRENT STATION	
9. CHECK (X) TYPE OF APPOINTMENT			10. CHECK (X) TYPE OF REPORT			
<input type="checkbox"/> CAREER	<input type="checkbox"/> RESERVE	<input type="checkbox"/> TEMPORARY	<input type="checkbox"/> INITIAL		<input type="checkbox"/> REASSIGNMENT SUPERVISOR	
<input type="checkbox"/> CAREER-PROVISIONAL (See Instructions - Section C)			<input type="checkbox"/> ANNUAL		<input type="checkbox"/> REASSIGNMENT EMPLOYEE	
<input type="checkbox"/> SPECIAL (Specify):			<input type="checkbox"/> SPECIAL (Specify):			
11. DATE REPORT DUE IN O.P.			12. REPORTING PERIOD (From- to-)			

## SECTION B

## PERFORMANCE EVALUATION

- U-Unsatisfactory** Performance is unacceptable. A rating in this category requires immediate and positive remedial action. The nature of the action could range from counseling, to further training, to placing on probation, to reassignment or to separation. Describe action taken or proposed in Section C.
- M-Marginal** Performance is deficient in some aspects. The reasons for assigning this rating should be stated in Section C and remedial actions taken or recommended should be described.
- P-Proficient** Performance is satisfactory. Desired results are being produced in the manner expected.
- S-Strong** Performance is characterized by exceptional proficiency.
- O-Outstanding** Performance is so exceptional in relation to requirements of the work and in comparison to the performance of others doing similar work as to warrant special recognition.

## SPECIFIC DUTIES

List up to six of the most important specific duties performed during the rating period. Insert rating letter which best describes the manner in which employee performs EACH specific duty. Consider ONLY effectiveness in performance of that duty. All employees with supervisory responsibilities MUST be rated on their ability to supervise (Indicate number of employees supervised).

SPECIFIC DUTY NO. 1	RATING LETTER
SPECIFIC DUTY NO. 2	RATING LETTER
SPECIFIC DUTY NO. 3	RATING LETTER
SPECIFIC DUTY NO. 4	RATING LETTER
SPECIFIC DUTY NO. 5	RATING LETTER
SPECIFIC DUTY NO. 6	RATING LETTER

## OVERALL PERFORMANCE IN CURRENT POSITION

Take into account everything about the employee which influences his effectiveness in his current position such as performance of specific duties, productivity, conduct on job, cooperativeness, pertinent personal traits or habits, and particular limitations or talents. Based on your knowledge of employee's overall performance during the rating period, place the letter in the rating box corresponding to the statement which most accurately reflects his level of performance.

RATING LETTER



SECRET

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Appendix I

Memorandum for Director of Personnel, 19 April 1968

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Approved For Release 2000/06/01 : CIA-RDP90-00708R000200100001-6

19 APR 1968

MEMORANDUM FOR: Director of Personnel

SUBJECT : Inflation of Fitness Report Ratings and Advisability  
of Fitness Report Training Course

1. In thinking about the subject for several weeks, it has become apparent that regardless of intention, our Fitness Report system seeks to obtain an appraisal of the employee both individually and as a member of a group having comparable grade status and experience. This result comes about in the following manner.

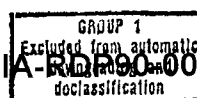
a. In rating on specific duties, the supervisor can and does consider the individual separately in relation to a varying number of tasks against a norm in which productivity is the main determinant of the rating. This multi-factor analysis can be quite objective. It is performance oriented and clear-cut, and can be the occasion of a constructive exchange between supervisor and individual.

b. In rating on Overall performance, the supervisor is practically forced to consider the individual in relation to others. Comparability creeps into the reasoning process as an inevitable consequence of the subjective, encompassing nature of this rating. For one thing, it is the rating which employees compare among themselves and thus can become a source of friction in the component. It is also the rating with which the reviewing official often disagrees, mainly because the latter is seeing the employee in a broader frame of reference. Subject to this kind of tugging and hauling, and probably figuring that this part of the rating is counter-productive anyway, the line supervisor reaches a practical solution as shown by the Tab A, Distribution of Ratings.

c. Regardless of the labels which management has chosen to attach to them, in practice our rating scale on overall performance means that Outstanding is one out of seven, Strong means equal to the majority, Proficient means below the majority, Adequate means unsatisfactory and Weak is non-existent. To add to the confusion, each higher level sees the individual in successively broader groups culminating in the ranking process at the Career Panels or Board level which is essentially comparing potential. However, the Fitness Report is still carrying the adjective rating of overall performance assigned by the first line supervisor from his limited perspective under the pressure of the daily working relationship and under the necessity of "getting out the work."

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2. It is small wonder that top management, which is "potential" oriented and "problem case" oriented becomes very upset with Fitness Reports when they want to take broad management actions like eliminating mediocrity and find that in essence most everybody is superior (average). The problem of reconciling the Fitness Reports from the standpoint of the first line supervisor level with the Fitness Report as documentation for broad management actions of an adverse nature is a hopeless one. The chances are that the greater the pressure to reconcile these two uses the less likely it will be that the Report serve either purpose.

3. It is doubtful that any training course will correct these environmental difficulties, particularly one which is premised on the simplistic assumption that if only our supervisors had more backbone our troubles would be over. A carefully handled training course might surface the problem but even this would be without significance unless the surfacing took place in a group consisting of the various management levels. A session worked into the management courses as part of the total management problem might be productive providing management is prepared to make some adjustments in their thinking. The position of the line supervisor is a particularly difficult one in the Agency since he has little authority insofar as hiring, firing and promoting is concerned, but nonetheless he is held responsible for the employee's work performance, for his 24-hour conduct, for his development on the job and for his failures.

4. Perhaps a frank acknowledgement of the comparable nature of the overall rating might tidy up the situation. Tab B is a suggestion which openly acknowledges comparability and provides a clue to the rater's frame of reference. Some redesign of the present form would be required, at which time it is suggested that the overall rating section be moved up one level to become the responsibility of the reviewing official. If this suggestion were to be adopted, it is recommended that the overall rating no longer be shown the individual just as his ranking is not made known to him. Such a policy would remove the line supervisor from the untenable position he is now in and place the responsibility with the authority.

25X1A

Chief, Plans Division  
Office of Personnel

Att

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TAB A

Rating Distribution by Career Service

		<u>Outstanding</u>	<u>Strong</u>	<u>Proficient</u>	<u>Adequate</u>	<u>Weak</u>
25X9	DCI Group [REDACTED]	23.4%	48.2%	24.3%	3.6%	.5%
25X9	DDP Group [REDACTED]	7.2%	66.6%	24.7%	1.4%	0.1%
25X9	DDS Group [REDACTED]	7.0%	63.5%	27.8%	1.6%	0.1%
25X9	DDI Group [REDACTED]	6.7%	64.0%	27.8%	1.4%	0.1%
25X9	DDS&T Group [REDACTED]	9.3%	60.4%	28.7%	1.6%	0.0%

~~SECRET~~

SECRET  
(When Filled In)

FITNESS REPORT				EMPLOYEE SERIAL NUMBER	
<b>SECTION A GENERAL</b>					
1. NAME (Last) (First) (Middle)			2. DATE OF BIRTH	3. SEX	4. GRADE 5. SD
6. OFFICIAL POSITION TITLE			7. OFF/DIV/BR OF ASSIGNMENT		8. CURRENT STATION
9. CHECK (X) TYPE OF APPOINTMENT			10. CHECK (X) TYPE OF REPORT		
<input type="checkbox"/> CAREER <input type="checkbox"/> RESERVE <input type="checkbox"/> TEMPORARY			<input type="checkbox"/> INITIAL <input type="checkbox"/> REASSIGNMENT SUPERVISOR		
<input type="checkbox"/> CAREER-PROVISIONAL (See instructions - Section C)			<input type="checkbox"/> ANNUAL <input type="checkbox"/> REASSIGNMENT EMPLOYEE		
11. DATE REPORT DUE IN O.P.			12. REPORTING PERIOD (From- to-)		
<b>SECTION B PERFORMANCE EVALUATION</b>					
<p>W - <u>Weak</u> Performance ranges from wholly inadequate to slightly less than satisfactory. A rating in this category requires positive remedial action. The nature of the action could range from counseling, to further training, to placing on probation, to reassignment or to separation. Describe action taken or proposed in Section C.</p> <p>A - <u>Adequate</u> Performance meets all requirements. It is entirely satisfactory and is characterized neither by deficiency nor excellence.</p> <p>P - <u>Proficient</u> Performance is more than satisfactory. Desired results are being produced in a proficient manner.</p> <p>S - <u>Strong</u> Performance is characterized by exceptional proficiency.</p> <p>O - <u>Outstanding</u> Performance is so exceptional in relation to requirements of the work and in comparison to the performance of others doing similar work as to warrant special recognition.</p>					
<b>SPECIFIC DUTIES</b>					
List up to six of the most important specific duties performed during the rating period. Insert rating letter which best describes the manner in which employee performs EACH specific duty. Consider ONLY effectiveness in performance of that duty. All employees with supervisory responsibilities MUST be rated on their ability to supervise (indicate number of employees supervised).					RATING LETTER
SPECIFIC DUTY NO. 1					RATING LETTER
SPECIFIC DUTY NO. 2					RATING LETTER
SPECIFIC DUTY NO. 3					RATING LETTER
SPECIFIC DUTY NO. 4					RATING LETTER
SPECIFIC DUTY NO. 5					RATING LETTER
<b>OVERALL PERFORMANCE IN CURRENT POSITION</b>					
Take into account everything about the employee which influences his effectiveness in his current position such as performance of specific duties, productivity, conduct on job, cooperativeness, pertinent personal traits or habits, and particular limitations or talents. Based on your knowledge of employee's overall performance during the rating period, place the letter in the rating box corresponding to the statement which most accurately reflects his level of performance.					RATING LETTER

For this report period designate how many employees of this grade you have rated \_\_\_\_\_. If more than one, indicate number in each category.

Outstanding	Strong	Proficient	Adequate	Weak

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Appendix J

Memorandum for All OCI Employees, 12 January 1970

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CONFIDENTIAL

12 January 1970

MEMORANDUM FOR: All OCI Employees

SUBJECT : Changes in Fitness Reporting System

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1. CIA [REDACTED], 3 December 1969, announced certain changes in the adjectival ratings and in the evaluating process of the fitness reporting system. In the adjectival rating scale, the former weak and adequate have been replaced with unsatisfactory and marginal, with proficient, strong, and outstanding remaining as before. The Personnel Notice provides new definitions for the five rating adjectives. In the past there has been a tendency to inflate performance ratings and thus reduce their usefulness. I think this is a propitious time to introduce more realism into the rating process. To make sure that everyone in OCI understands, I shall explain in the following paragraphs how these ratings will be interpreted henceforth by the OCI Career Service Board.

2. There are two quite fundamental considerations governing performance evaluations which need to be restated. First in rating a person's performance of specific duties which he is assigned, the duties should be thought of as primary, secondary, tertiary, etc. In arriving at the overall rating, the supervisor should take account of this ranking and give greater weight to the more important duties than to the less important. Second, there is sometimes a tendency to overrate a person as he rises in grade. This tendency can be avoided by considering each person in terms of his grade, length of service in the job, and potential.

3. In stating how the OCI Career Service Board interprets the five adjectival ratings in the new terminology, I prefer to begin with the median rating--Proficient. I do this because, I regard that rating as a sort of bench mark against which the other ratings are calibrated and because I look on it as the required rating for acceptability in OCI. A Proficient employee is one who makes a contribution to the OCI effort--whose performance is satisfactory. But I think that there are degrees of proficiency which should be of the report). A person can be rated a "P" if his performance is

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only acceptably proficient; i.e., not poor enough to warrant the next lower rating but not good enough to be exciting. A higher degree of proficiency could be called commendable proficiency--a performance which is dependable and which is recognized as a distinct contribution to the Office's effort. To earn this, none of the employee's specific duties would be rated below proficient and perhaps one would be rated strong. The highest "P" rating could be called high proficiency, which denotes a gratifying performance including the application of considerable imagination and initiative to the job. An employee in this category might well be expected to move up on the rating scale soon.

4. Because I regard a "P" rating really as three ratings, I would expect the majority of OCI personnel, professional and clerical alike, to fall into this category. In using the narrative comments to make the distinction by degree, the supervisor can indicate to the employee and the Career Service Board whether the performance is improving, deteriorating or stagnating. The Board considers that the acceptable level for career development actions, including promotions, lies within the "P" rating.

5. Because the majority of people will be rated "P" under the new system, a substantial number--perhaps half or more--of those rated Strong under the old system will drop to "P" even though their job performance remains unchanged. To make certain that this is clearly understood, the narrative comments will explain that the drop results from the new rating system and a new OCI rating policy. A stamped imprint will be placed on the Fitness Report to indicate that the rating was made under a new OCI policy. In addition, a copy of this memorandum will be placed in every employee's personnel folder.

6. A Strong rating--above Proficient-- is awarded for the level of performance sought, but not too often reached, from experienced personnel in all grades. A person earning this rating should stand out clearly among his colleagues as one with exceptional qualities of substantive grasp, initiative, flexibility, dependability, and leadership or leadership potential. Supervisors and the Career Service Board should have no hesitation in having a Strong-rated employee represent OCI anywhere, commensurate with his grade and mission. Although OCI has a good many well qualified people, because of this new rating system, I should think that probably no more than about 25 percent of OCI's employees would qualify for an "S" rating. Occasionally a person may be awarded an "S" rating for exceptional performance in a single duty, such as service in a crisis task force or preparation of an NIS section.

7. The topmost fitness rating--Outstanding--is to be reserved for a very few people. It will be given to employees whose performance



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in their jobs is without question superior in all respects in the view of their supervisors and reviewing officials. When an OCI employee is deemed deserving of an overall "O" rating for the first time, he will receive appropriate recognition by the Career Service Board.

8. Below the Proficient rating is the Marginal category. Because OCI attempts to recruit personnel with good promise and succeeds for the most part, I expect that not very many will be rated as Marginal. For those few who are, the rating will be interpreted as indicating a failure by the employee to measure up to OCI's minimum performance standards. It will signify that the person has deficiencies of such nature that energetic remedial action should be undertaken at once. The deficiencies and the recommended corrective actions will be specified in the narrative section of the Fitness Report. The employee will also be given a separate memorandum spelling out in greater detail the faults in his performance and the proposed remedies. This memorandum, prepared by the supervisor in consultation with his superiors, will stipulate a time limit for overcoming the deficiencies, at the end of which the supervisor will prepare either a special fitness report which will rate the employee as Proficient or a memorandum warning him that if he does not succeed in 90 days an Unsatisfactory fitness report will be filed.

9. I believe that an Unsatisfactory fitness report rating of an individual in OCI should call for mandatory separation from the Office, if not for a recommendation that he be separated from the Agency. If Marginal rating cases are handled by the procedures described in the preceding paragraph, the individual will have been given a fair opportunity to prove himself worthy of retention in the Office. If he fails to make the grade, the "U" fitness report will serve to warn him that steps are being taken to terminate his OCI employment. There will, I am sure, be few if any of these cases.

25X1A

  
E. DREXEL GODFREY, JR.  
Director of Current Intelligence

*File*  
**FITNESS  
 REPORT**  
*Subject*

SPECIFIC DUTY NO. 8

THIS FITNESS REPORT HAS BEEN PREPARED IN  
 ACCORDANCE WITH THE PRINCIPLES SET FORTH  
 IN AN OCI MEMORANDUM TITLED, CHANGES IN  
FITNESS REPORTING SYSTEM, DATED 12 JANUARY  
 1970, A COPY OF WHICH IS IN THIS FILE.

RATING  
LETTER

SPECIFIC DUTY NO. 9

RATING  
LETTER

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OVERALL PERFORMANCE IN CURRENT POSITION  
 Take into account everything about the employee which influences his effec-  
 tiveness in the performance of specific duties, production, and other factors.

Appendix KSource References

1. Regulation <sup>25X1A</sup> [REDACTED] 21 Sep 54.
2. Career Service Board, File OP, 20th Meeting, 4 Feb 54. (The  
[REDACTED])
3. Career Service Board, File OP, 31st Meeting, 13 May 54.
4. Ibid.
5. OP Career Council, File OP, Transcript, 11th Meeting, 13 Jul 55.
6. OP Career Council, File OP, 13th Meeting, 15 Sep 55. Report of Fitness Report Task Force.
7. OP Career Council, File OP, 15th Meeting, 17 Nov 55. (The DCI question was asked of the Chief of the Management Staff [REDACTED] during the month of October 1955 and discussed at the 15th Meeting.)
8. Memorandum in OP Career Council File, 15th Meeting, 17 Nov 55.
9. OP Oral History Project, Tape 11, 2 Apr 71, Statement by <sup>25X1A</sup> [REDACTED]
10. OP Career Council File, Transcript, 47th Meeting, 23 Jan 58.
11. Statement by [REDACTED] 30 Oct 68.
12. OP Career Council File, Transcript, 47th Meeting, 23 Jan 58.
13. Statement by [REDACTED] C/Control Division/OP to <sup>25X1A</sup> [REDACTED] 20 Oct 71. (As a result of his review of the 701 Program, General Carter directed the Director of Personnel to institute a strong control system on Fitness Reports. Those which were delinquent three months were to be referred to the appropriate deputy, reports delinquent six months or more were to be referred to General Carter. The machine records was dated December 1962.)

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14. Statement by [REDACTED] 28 Oct 68.
15. Fitness Report File, Office of Personnel, Background Report on Agency Fitness Reporting for Director of Personnel from Chief, Plans and Analysis Staff, December 1968.
16. OP Oral History Project, Tape 13, Statement by Gordon M. Stewart, 11 May 71.
17. Statement made by DCI to IG, Lyman B. Kirkpatrick, as reported by him in Career Council Meeting, 25 May 61.
18. Memo, DDS to D/Pers, 20 Jun 68, sub: Proposed Revised Fitness Report System.
19. Memo for the Record, D/Pers Staff Meeting Jul 68, sub: Change to Fitness Report Instructions, OP Fitness Report File.
20. Memo for the Record, Deputies Meeting with the Executive Director-Comptroller, 17 Feb 69, OP Fitness Report File.
21. Memo for DDS from D/TR, 30 Oct 69, sub: Fitness Report Change.
22. Memo for D/Pers from DDP, 6 Mar 68, sub: Proposal for a Revised Fitness Report System.
23. Memo for the Record, Deputies Meeting with the Executive Director-Comptroller, 11 Apr 69.
24. Memo for D/Pers from IG, 6 Feb 69, sub: Personnel File.
25. Briefing Paper Prepared for D/Pers by the Plans and Analysis Staff Prior to Deputies Meeting in Mar 69, OP Fitness Report File.
26. Ibid.

General

25X1A  
Personal Interviews by CT [REDACTED] (the original 'drafter' of this study) with:

25X1A [REDACTED] Chief, Placement Division  
30 October 1968.

25X1A [REDACTED] Chief, Control Division  
25 October 1968.

25X1A [REDACTED] Chief, Logistic Services  
Division, 28 October 1968.

25X1A [REDACTED] Chief, Special Activities  
Staff, 25 October 1968.

25X1A [REDACTED] Analysis and Evaluation  
Staff, 1 November 1968.

